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# Public Personnel Review

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Vol. 17

No. 1

- A Personnel Perspective
- A Formal Management Development Program That Works
- An Approach to Employee Evaluation: The Field Review
- Improving the Federal Classification and Pay Program: Some Suggestions
- The Anatomy of Pay Plans
- The Values of Public Service
- Personnel Legislation in the 84th Congress
- Personnel Opinions
- The Bookshelf
- Personnel Literature

Quarterly Journal of the Civil Service Assembly

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# PUBLIC PERSONNEL REVIEW

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of the United States and Canada**

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# Public Personnel Review

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CIVIL SERVICE ASSEMBLY

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The quarterly journal of Civil Service Assembly of the United States and Canada provides a medium for the publication of factual material, and for materials that may represent divergent ideas, judgments, and opinions. The views expressed in articles and other contributions are those of the authors, and may not be construed as reflecting the views of the Assembly or the editors unless so stated.

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## editorial

## notes and comments

### CSA Pays Tribute to H. Eliot Kaplan and Samuel C. May

In February, 1955, the Executive Council of the Civil Service Assembly nominated H. Eliot Kaplan and Samuel C. May for Honorary Membership in the Assembly in recognition of the contributions which they had made to the field of Public Personnel Administration.

The bestowal of these awards takes place at the annual business meeting of the Assembly, which in 1955 was held on October 26 during the Annual Conference on Public Personnel Administration in Cincinnati, Ohio. On September 30, Dr. May died of a heart attack in New York City. He had recently retired as Director of the Bureau of Public Administration, University of California at Berkeley, and he and Mrs. May were en route to Italy. Dr. May had agreed to assist the University of Bologna with its plan to establish a training program in public administration. At the business meeting CSA members passed a Resolution to make the award to Dr. May posthumously and to transmit it to Mrs. May.

#### H. Eliot Kaplan

(Citation by JAMES R. WATSON, Executive Director, National Civil Service League)

Eliot Kaplan, you have spent 43 active years of your life in the cause of good government. You have made an enduring mark on public personnel administration in the United States. Although you are already looked upon as an elder statesman among public personnel experts, your forthcoming treatise on Civil Service Law is eagerly awaited by public administrators, attorneys and others concerned with good government.

At the age of 15 when you became a junior clerk in the office of the National Civil Service League, some of the giants of the 19th century civil service reform movement were still among the League's leaders. Your service has bridged two eras—that of the battle against spoilsmen and the present drive to make civil service a positive force in administering complex modern government.

For 20 years as Director of the League and the affiliated Civil Service Reform Association of New York, you achieved a national reputation for your vigorous support of the merit concept of public employment backed by your encyclopedic knowledge of civil service theory and practice and of civil service law. You have won the confidence and respect of professional, civic and public employee organizations and enlisted their interest in progressive personnel management. Under your direction, often with the cooperation of these groups, many projects on which the League had worked for years began to develop successfully. Among them are such landmarks as the prohibitions against "pernicious" political activity, placement of postmasters under the Civil Service Act, extension of the merit system to employees of social security agencies in the states, and broadening of civil service coverage through the Ramspeck Act.

Yours was a major contribution to the drafting of civil service laws of many states and cities. The Model State Civil Service Law and Model Civil Service Ordinances are in large part your work. As Counsel of the New York Civil Service Reform Association, you successfully prosecuted more than a score of legal actions to clarify and enforce the New York Civil Service Law. You have been the advisor of many mayors, governors, Presidents and other public officials on problems pertaining to civil service. Your recent report to President Eisenhower, made as Chairman of the Committee on Retirement



Photo by William Russ, Larchmont, N. Y.

(Continued on page 58)

# A Personnel Perspective

Albert H. Aronson

BEFORE we proceed to numerous sessions of this conference in which various aspects of public personnel administration will be analyzed, some observations on the field as a whole may be in order.

As a background, let us note some of the factors, scientific and social, that lie behind the productive miracles of our economy. Among these are the scope given to individual inventiveness and initiative; our heritage of freedom of inquiry and the recognition and support of scientific research, basic and applied; democratic education and the opportunity for managerial and technical talent to rise above caste limitations prevalent in many societies; the application of management planning in organization and work methods; the mobility of our economy and the willingness to supplant outmoded machines, methods and ideas in the interest of increased productivity; the acknowledgement and fostering of the demand for a higher standard of living and the participation of the great body of the people in the benefits of increased productivity. Continuation of all these factors is not automatic; they are subject to attack and to attrition. Fostering the climate that makes for progress is a problem for our whole society. There are, however, some implications for the public service and for public personnel administration specifically.

Public personnel problems have existed as long as the recorded history of the state. This is but a brief period in the total history of man, and it is probable that there have been no basic changes in human instinct and in human mental capacity during these few thousand years. But there

have been tremendous advances in accumulated knowledge and in the growth of man's power through science and technology, and vast changes in human institutions. Progress in the physical sciences and their related technologies has accelerated during the last century and shows no sign of abating. In the social sciences, the progress has not been as notable, partly from the inability to experiment under controlled conditions, partly because of the failure to apply scientific method. Even so, the advances in the social sciences are not negligible.

## Scientific Bases of Personnel Work

If we examine contemporary public personnel administration at its best, we can discern at least two major bases: the findings of science and the application of certain democratic concepts. Public personnel administration is based upon the social sciences, in the way that engineering is based on the physical sciences. As we know it today, it is largely a product of the twentieth century, but the impulse for progress in this area goes back to the nineteenth century in this country and western Europe, and it can be traced in the history of some previous societies. Some of the problems were recognized many centuries ago. However, it is only recently that we have developed and applied scientific knowledge in the area, and then only to part of it. Yet even in the limited area of scientific knowledge, practice has lagged behind knowledge.

Let me just mention here some of the disciplines upon which we can draw: psychology and psychometrics, cultural anthropology and sociology, political science and public administration, industrial engineering and industrial hygiene, economics and industrial relations. With psychological techniques, we are building up a body of knowledge about the range of individual differences and methods of measuring them. Yet we customarily underrate the extent and importance of these differ-

• **Albert H. Aronson**, Chief, Division of State Merit Systems, U.S. Department of Health, Education, and Welfare, is the President of the Civil Service Assembly of the United States and Canada.

This is the Presidential address which Mr. Aronson delivered at the opening session of the 1955 Conference on Public Personnel Administration. The editors of *Public Personnel Review* are happy to publish the talk for the benefit of those CSA members who were unable to attend the conference in Cincinnati.

ences in job performance. We have the means of testing mental abilities and occupational knowledge. The use of validated objective tests is growing in industry and in the professions, as well as in educational institutions. We need to ask ourselves whether civil service examinations are setting or keeping pace.

There are no easy answers in the field of human relations with its infinite variability, but we are learning things about human motivations and group interaction and the application of this to the processes of training, supervision, and administration.

It would be easy to overemphasize the current contribution of science to our work; it would be stupid to ignore its potential contribution.

#### **Democratic Concepts in Administration**

The democratic concepts which I spoke of as a basis for public personnel administration are simple and powerful. The first is the concept of open competition as a basis for selection. This is not merely a negation of patronage and of appointment by clique and by crony. It is a positive recognition of our tenet of equality of opportunity in a democratic society. Government jobs are not the property of a political party or an administrative elite. The right of all citizens to be considered for the public service on the basis of their ability to perform the jobs involved implies an objective, impartial, and valid test of the qualities of mind and character required. In this way, greater organizational competence becomes a product of valid competition. Such competition for jobs is comparable to the place of competitive enterprise in a free economy.

Despite general lip service to the principle of open competition, there are occasional tendencies to allow it to fall into disuse. Full employment and the difficulties of getting well qualified persons are often used as excuses for not applying the principle. It is important that we recognize that these conditions necessitate a realistic and flexible approach to applying the principle rather than its abandonment.

A current danger is emphasis on a career concept in which tenure looms up as the

most important consideration. Tenure not based upon rigorous selection of the best available candidates may not only protect mediocrity and marginal performance in the entrance jobs but may have an even more stultifying effect upon selection for higher posts. Longevity among the mediocre rather than leadership may become in reality the basis of promotion.

Democracy in public administration may also be applied in the complex of relationships within an organization, specifically in the supervisor-employee relationship. Research on employee productivity in several types of organizations has shown that employee-centered supervision is superior to production-centered supervision in attaining efficiency. Personnel administration must recognize the individual's desire to use his highest skills, to develop his capacities, and to gain recognition for his contribution to the organization. Recognition of the dignity of the individual employee and of his motivations and aspirations does not imply lack of administrative control. It merely seeks to establish a physical and psychological environment that promotes efficiency. It is no accident that our democratic society, which stresses human values, has attained greater productivity than totalitarian societies where human values are ignored or debased. Yet there remains a great area for the more effective application of the basic democratic concepts in administration, supervision, and management-employee relations.

#### **Positivism and Opportunism**

It should be noted here that acceptance of these basic concepts—the use of scientific methods and scientific findings and the application of democratic principles in public administration—does not imply concern with theory rather than with effective results. Effective administration involves the elimination of red tape and the use of practical and efficient procedures. There is a maxim of the law that justice delayed is injustice. This may be applied to administration and especially to public personnel administration. Undue lag in procedures can make a mockery of a merit system.

The rigid personnel man whose concern

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is with regulation for its own sake rather than with results has often, and justly, been pilloried. We have had numerous speeches calling for positive instead of negative public administration. To the extent that this is a demand for purposeful, realistic, swift action to effectuate basic principles it is sound. The "No" man exemplifying inflexibility and inertia has no place in effective personnel administration. However, some persons who plead for positivism are merely pleading for "Yes" men. Someone has described a type of mushy, eclectic mind which, when confronted with a choice between Heaven and Hell, hopes to combine the best features of each. Positivism as an affirmative course of action is to be commended. Positivism as substituting the "Yes" man for the "No" man is mere opportunism. For example, it is easier to ignore the existence of patronage forces than to oppose them. Because patronage today is of lesser extent (thanks both to our full-employment economy and to our merit systems) and is less blatant than it was in the days when reform was a word of praise, it is comfortable to assume that it isn't a problem.

Yet it should be stressed that a merit system must be an efficient and not merely a moral answer to maladministration. Its test must be not adherence to ritual but achievement of results. Improvement in the calibre and efficiency of the public service is the justification for public personnel administration. Our technology must be adequate to translate principles into productive action.

### Areas for Development

In taking account of where we are, we should certainly acknowledge the rich store of practical experience that there is in the field. The Civil Service Assembly plays a major part in facilitating exchange of practices through the Secretariat, through publications and through various meetings—regional, chapter, and national. We must continually question not only whether a given practice is applicable, in different jurisdictions, but whether we are not repeating each other's mistakes. The evaluation and adaptation of practice is a continuing necessity. We need to follow

the best practice even if it is new and not typical. Yet we must also avoid fads. There is no gadget, no panacea for all our problems. But we certainly can find within the experience of agencies, large and small, many valuable ways of improving administration.

Let me briefly mention a few of the needs in the field, the areas for future development. Continued basic research is needed in individual differences and human relations. This is likely to be conducted largely in institutions of higher learning and research organizations. The public personnel field must both stimulate research efforts and direct attention to the more important unsolved problems. Let me cite just one example—the evaluation of personality by more objective and valid measures than are available today.

Applied research by personnel agencies is likewise important. Two examples may illustrate the range. The development of techniques and procedures to streamline and speed up personnel operations is an essential. We are, I believe, on the threshold of automation for routine clerical operations and we need to examine its implications for personnel work. A far different type of research is needed to explore the contributions of psychiatry to the mental health problems within an organization.

There are many familiar areas which are demanding increasing attention. For example, it seems clear that, particularly at the municipal level, problems of industrial relations are looming larger. For another, interest in employees' suggestion systems is growing. Problems of intra-organizational communication are receiving major attention in industry today and governmental interest is growing. It is being recognized that communication is more than pep talks to captive employee audiences or pronouncements that the top executive's door is always open.

The development of objective criteria of the effectiveness of personnel operations is a necessity. For example, how can we get meaningful standards of turnover for different classes of work? What criteria do we have by which to evaluate recruitment? Validation has largely been confined to the written test. Is it not at least as essential

for the establishment of minimum qualifications and the rating of training and experience? What standards can be developed by which to determine the value of training programs? Certainly we need to stimulate measures of effective job performance in all fields. This will, among other things, provide criteria for validating selection and promotion measures.

It is trite to say that public pay scales have generally lagged behind industry. But we also need to look at our whole pattern of compensation, including employee benefits and services. So-called fringe benefits are now over 20 percent of the pay bill in industry. Are the public services, which could once offset higher industrial pay scales by employee benefits and services, now at a disadvantage here too?

We do not, for a variety of reasons, have the kind of public understanding that is essential to avoid out-moded stereotypes of the public service. This is something for citizen organizations and for civil service commissioners, more than for professional personnel workers, but the latter have a part to play. Our committee on development of materials for high school government courses has a most challenging opportunity in this area.

Our civil service commissioners have to face the problems of balancing the views of interested groups. A public agency tends to respond more readily to its clientele than to the general public. In personnel administration the administrative officials and the employees constitute this clientele. Their views are of course of major importance. But how do we get that more nebulous but more important group represented, the general public?

In this connection, what is the relation between the officials sworn to carry out the purposes of a law and the opinions of duly elected officials, who must be responsive to political considerations? A passage in Walter Lippman's recent book, "The Public Philosophy," is relevant. He says:

The Civil Service, the military services, the foreign services, the scientific technical services, the quasi-judicial administrative tribunals, investigating commissions, the public schools and the institutions of learning should be substantially independent of elections. These re-

forms were inspired by the dire effects of the spoils system and they were pushed as practical remedies for obvious evils.

Yet implicit in them there is a principle which if it can be applied deeply enough gets at the root of the disorder of modern democracy. It is that though public officials are elected by the voters or are appointed by men who are elected they owe their primary allegiance not to the opinion of the voters but to the law, to the criteria of their professions, to the integrity of the arts and sciences in which they work, and their own conscientious and responsible convictions of their duty within the rules and frame of reference they have sworn to respect.

We in the United States and Canada are being drawn more and more into international consultation for so-called underdeveloped countries. In the interest of a better world and from our own national interest, we should participate. This points to the need for evaluation of our own practices, sifting out the principles and the practices that have general applicability and validity from the parochial and the adventitious.

We have to face the problems of stimulating the flow of talent into our own field and its professional development. We should look forward to developing a code of ethics. We need to develop more effective liaison with other groups working on related problems in industrial and military personnel administration, and in personnel work in school systems and hospitals, and with professional groups of all kinds interested in public personnel administration.

As an organization, our Secretariat and our various committees are working on some of these problems. But we should have greater participation from our membership through our present and new chapters, through our regional organizations, and through agency and individual consideration of some of these problems, and presentation of them in our publications and in our public meetings.

The public personnel field has a proud tradition and has no reason for apology for its record. But it likewise has no reason for complacency. Progress is not automatic nor is there a simple formula for it. It lies

(Continued on page 33)

# A Formal Management Development Program That Works

J. Walter Sherman

WITHIN the last four or five years there has been an increasing interest in management development among almost all management groups of any size. Within the last two years this interest has risen almost to fever pitch. Companies, large and small, all over the country have come forth with plans of all sorts to develop managers—plans involving job rotation, junior boards, off-the-job education programs, and a couple of dozen other techniques. Development programs in most companies have been formal to some degree, and debates about the relative merits of this and that program have been legion.

## Doubts Raised About Value of "Formal" Programs

During the last few months, however, a much more basic question seems to have arisen. This question is whether or not any formal program is worthwhile in developing executives. Some doubters have begun to say, more and more loudly, that it isn't. Robert K. Stoltz of McKinsey and Company, Management Consultants, has reported chief objections of these doubters as follows:

First, such programs frequently give rise to a "souped up," high-tension atmosphere that causes men to become overly preoccupied with their careers and chances for promotion.

Second, many proceduralized programs result in the selection of a small group of supposedly high potential men on whom all future development is to be concentrated.

Third, most proceduralized programs emphasize the company's role in training men, not what the men can do to develop themselves.

Last, and perhaps most important, there is real danger that the emphasis on the tools, techniques, charts, and other external trappings of executive development will lull management into complacency and the belief that

• J. Walter Sherman is Executive Development Coordinator at Kelly Air Force Base, Texas.

all the effective action needed to aid the development of its men is being taken—even though many of these tools do nothing in themselves to aid actual development.<sup>1</sup>

Perhaps we should have expected that after the initial vociferous enthusiasm over formal development programs wore off there was bound to be a reaction. It is also undoubtedly true that in some places those who administer programs, in wandering about in the underbrush of method and procedure, have lost sight of the forest. However, the objections that have been raised are valid only if applied to the *administration* of formalized management development programs; they are not valid when applied to the programs themselves.

Once the need for management development is granted (and no one has questioned the need), then it must also be granted that any organization which sets forth consciously and deliberately to improve its management must have a plan, which, in turn, must be implemented by policies, by methods, and by procedures. Like it or not—there must be a formal program. No other alternative exists.

The question, therefore, is not whether to have or not to have a formal program. It is, rather, how to plan and conduct a program that will avoid those dangerous pitfalls which the critics have pointed out.

## Kelly Program Answers Most Questions

At Kelly Air Force Base we have had a formalized Management Development Program in operation since late 1952. It produced good results during its first year and better results during its second. We believe that in planning and conducting it, we have by this time eliminated most, if not all, features of which critics complain. We know that it is a workable program for

<sup>1</sup> Robert K. Stoltz, "Getting Back to Fundamentals in Executive Development," *Personnel*, Vol. 30, No. 6 (May, 1954), pp. 434-444. American Management Association, New York, N. Y.

Kelly. We believe that its basic elements are workable anywhere.

The Kelly Program has four phases. Phase I is the appraisal of each member's job performance and future potential. Phase II is the inventory of the managerial resources we have. Phase III is replacement planning to fill management vacancies when they occur. Phase IV is the development of each member of the program to meet his individual needs.

The fact that we have these four phases in proper balance is one of the features that make the Kelly program unique both in government and in private industry. Most programs we have studied are made up of one or two or even—in some cases—three of these same phases. Yet it seems to us that all four phases—in combination—are absolutely essential to any complete program. Appraisal, from a long-range view, is only the necessary preliminary to inventory. The purpose of inventory is to make intelligent replacement planning possible. All three of these phases add up to a means for determining management development needs that must be followed through by planned development if the program is to be more than a simple manager selection device.

Another essential feature of any workable management development program is top management support. With it, even a sketchily planned program can have some measure of success. Without it, the best planned program in the world will fail. At Kelly we are extremely fortunate in this respect. When the plan for our program was first presented to our Commander and his staff they were already interested—the need for a management development program had already been recognized. The initial interest has been converted into solid support by getting active top management participation in the administration of the program.

The Kelly program is a line program. It is designed for line managers. It is run by line managers. The responsibility for its success or failure rests squarely on line management.

This is how the Kelly program works.

### Committees

The setting of policy for the program and the job of administering it are the business of a number of development committees. The senior of these is the Executive Development Committee. Its chairman is the Commander. The other members are the officers of the Commander's staff and the highest ranking civilian executives on the base.

There is also a Middle Management Development Committee in each of Kelly's major organizational components. These committees are charged with the administration and control of the program for people in middle management positions. The chairman of each committee is the chief of a major organizational component. Since the chief of such a component is on the Commander's staff, the chairmen of all the Middle Management Committees are also members of the Executive Development Committee.

That doesn't mean, though, that the Executive Development Committee controls and directs the Middle Management Committees. It doesn't. Each committee is autonomous. It has complete control over its own part of the program.

The other members of the Middle Management Committees are the highest ranking officials of the components they work in. Each committee has four functions:

1. It makes all policy for the program in its own area.
2. It decides who shall be included in the program.
3. It specifies the methods and procedures to be used in carrying out the program.
4. It reviews all personal appraisals and replacement plans and certain portions of members' development plans.

As can be seen, the committees have a most important part in the program. Because they do, and because all their members are top management people, the support of top management is assured.

### Coordinators

Of course, the committees cannot do all the work of the program themselves. To

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give the committees professional advice and assistance we have development coordinators. Each committee has one. The coordinator acts as the eyes and hands of his committee in carrying out the program.

The duties and responsibilities of a coordinator are:

1. To assist his committee to prepare appraisals, inventories, replacement plans and development plans.
2. To maintain all confidential records for his committee.
3. To coordinate program activities, such as arrangements for cross-training, between organizational components.
4. To keep his committee posted on the latest methods and techniques in the field of management development.

It is through the coordinator-committee machinery that our top management is able to maintain effective control over the program in all its phases. The existence of the coordinator positions assures the committees of full and complete information on the progress of the program at all times.

### Selection of Executives

There must, of course, be some standards of eligibility to determine who shall be in the program. These are set by the development committee. Since ours is primarily a development program rather than a selection program, the committees have specified standards strictly of grade and position. In the Executive Development Program, whose members are from all organizations, the committee has specified that to be eligible one must hold a key executive position. Also, the major responsibilities of the position must be management responsibilities. This further requirement excludes doctors and attorneys because their positions are specialized and are not primarily executives' positions. There are about 110 people now included in the Executive Development Program.

In the several Middle Management Programs, the committees generally have decided that people holding positions of the next highest levels should be included.

### Appraisal of Individual Needs

The first phase of the program is ap-

praisal. In our program, appraisal has two prime purposes.

Most important, it is the tool we use to discover in what areas each program member needs development. I want to emphasize this idea of development as the objective of appraisal. As we use it, appraisal is not in any sense a "weeding out" device. Whatever the result of any individual appraisal, it has no effect on the security of the person appraised in the job he holds. Our first purpose is purely and simply to find out what we should give each person in the way of development to help him do his job better and to prepare him for future advancement.

The second purpose of appraisal is to uncover potential executive talent to aid us in replacement planning and development of personnel for our key positions against a future need.

The appraisal procedure is rather complicated. Each program member is appraised by three people who are selected by the Development Committee. One is the member's immediate supervisor, one is the next higher supervisor, and, whenever possible, one is chosen from a directorate or staff office other than the one where the member works.

Each of the three appraisers first makes an independent appraisal of the member, using an appraisal form and guide that we developed. The form lists a number of specific questions about the member's personal characteristics, his vision, his leadership ability, and his job performance. From these questions, a picture is built up of the member's present performance, his promotability, and his future potential for advancement. The appraiser is asked to rate the member on each of these and to make recommendations for development. While the independent appraisals are in process, the appraisers are asked not to discuss them with any one, so that what we get, initially, are three individual opinions of each program member.

Because the appraisals are subjective ratings made by subjective standards, the independent appraisals of each Program member usually differ. These differences, when they appear, must be reconciled. The three appraisers meet to iron out

their differences and to agree on a single appraisal among them. The Coordinator conducts this conference to make sure that all appraisers interpret appraisal standards in the same way. We have found that many independent appraisals have differed only because the appraisers interpreted the standards differently. Once they all get a common idea of how the standards should be interpreted, most of their differences are easily ironed out.

The appraisal rating agreed on by the appraisers in conference is submitted to the Development Committee for approval. No appraisal becomes official until the committee has approved it.

It may seem, even from this once-over-lightly treatment, that appraisal is a very time consuming process.

It is. It takes an hour or more to make a considered, independent appraisal. The conference takes another forty-five minutes. Multiply this by the ten or fifteen appraisals one top management man often has to make, add to it the hours the coordinator must spend in preparation and in the conferences and the hours the committee must spend in review, and you have a sizeable amount of time.

We believe, though, that every step in the process is necessary. If we are to get appraisals that are of value to management, they must be as fair as possible and as objective as possible. But the only way we have of measuring executive traits and abilities is by subjective opinions on subjective standards. Our whole procedure is designed to reduce this inescapable subjectivity to a minimum. Getting three opinions instead of one helps. Getting agreement among the appraisers instead of merely averaging the individual appraisals helps. Having the coordinator conduct the conferences to interpret the standards uniformly is another help. Having a final committee review helps also. In all fairness to both the individual and the organization, no possible aid to objectivity should be left out.

In fairness to the individual, appraisals should be kept confidential. An appraisal is a very personal thing. In our program, no member ever is told who his appraisers

were, except that one was his immediate superior.

The second phase of the program is Inventory. It is in this phase that we take stock of present resources and future potential of executive talent.

#### Inventory of Agency Talent

To make an inventory, the coordinator uses the appraisal results of all program members. From this information, he prepares an organization chart showing the positions included in the program and the names of the people occupying such positions. Below each name are three color codes. One color shows his appraisal rating on present performance. The second shows the rating on promotability. The third shows the rating on future potential. Also shown are each member's age and length of service. This chart, which is kept by the committee under lock and key, is an invaluable tool in estimating future management needs for replacement training.

#### Planning for Replacement

The third phase of any complete program is replacement planning. It is the logical sequence to Inventory. Through inventory, management finds out what it has in the way of available talent. Through replacement planning, management decides what to do with it—it starts making a road map for some of the development to follow.

Replacement planning in a management development program is, of course, a rather controversial issue. Some authorities say it should not be done—that all members of a program should be considered a replacement pool from which selections should be made as the need arises. At Kelly, however, we believe that it is best to select specific potential replacements for target positions well in advance. At Kelly, the Executive Development Committee has replacement plans and each Middle Management Committee has replacement plans.

In the Executive Development Program, replacement plans are made for the three top grades of executive positions. In the several Middle Management Programs, re-

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placement plans are made for positions in the next two lower grades. All replacement plans are made by the same procedure.

The supervisor of a position for which potential replacements are to be selected is asked to recommend two or more potential replacements. To aid him in making his choice (he is a member of the committee) he has available to him all the information collected in the Appraisal and Inventory phases of the program.

The appropriate development committee must review and approve replacement plans before they become official. Because replacement plans are subject to periodic review and change, they are kept confidential. Only the members of the committee know whose names appear on its replacement plans.

### Development of Employees

The fourth and final phase of the program is development.

Development is the part of any program that requires the most time and effort—that is, if one follows the same philosophy that we do. We consider that it is the job of the program to do more than see to the development of those selected as replacements. It is our belief that all people in the program whom it is at all practical to develop are entitled to help.

From our experience we have found that each program member will fall into one of four categories so far as development planning is concerned.

First are those for whom further development is not practical. These employees are very few. Advanced age, bad health, or very limited time remaining before retirement may put a member in this category.

Second are those who are to be developed for better performance in their present jobs. These people, generally, are members who have already reached our highest executive positions.

Third are those members who are to be developed for better performance in their present jobs and given general training for future promotion.

Fourth are those whose names appear on replacement plans and who are to be developed to fill target positions.

The great majority of all members fall in categories three and four.

However, we do not go about developing people by categories. We think that each person in the program should be developed separately—that each should have his individual development planned to fill his individual needs. Therefore, each program member, except those very few in category I, has his own Individual Development Plan.

The program member, his immediate superior, and the coordinator all have a hand in the construction of an individual development plan. To begin with, the coordinator transfers to an individual development plan the development needs listed on the member's official appraisal. He then visits the member's superior, taking with him a copy of the appraisal and the partially completed individual development plan. He points out to the superior the areas in which the member has been said to need development and advises him on sources of training available to meet them.

The supervisor and the program member then confer. The supervisor shows the member his official appraisal and goes over it with him. This is a very important step. Properly presented, the appraisal discussion can motivate the member to accept the responsibility for his own self-development. The underlying purpose of any good management development program must be to provide the atmosphere, the opportunity, and the means for managers to develop themselves. The most undesirable features of cradle-to-grave security for employees have their counterparts in the "prep-school to presidency" approach to manager development.

We can and do provide for training—on the job, in the classroom, and off reservation—all the types of training that can be imposed on a man from without. But unless the man has a strong desire for self-development, all the training we can shoot at him will not produce the kind of manager we want. Our managers are encouraged by every means possible to pick out their own weak spots and do something about them. One means that we have of encouraging self-development is the pub-

lication of a planned reading booklet. It is a bibliography of the best available books on management subjects. We distribute it to all program members.

Following the appraisal discussion, the member and his supervisor together complete the member's individual development plan. The plans for people in the program call for a great variety of training—as is to be expected when each man's plan is designed for his own particular needs.

The training most often listed, and probably the most important, is coaching—on the job, by the supervisor. This coaching is not the normal, day-to-day contact of supervision. It consists of planned sessions in which the supervisor meets with the participant to discuss his job and his performance and to make specific suggestions for improvement.

Next most frequently planned is rotational training. Those whose plans call for it are given a chance to become familiar with other jobs both inside and outside their own organizations to broaden their outlook and give them a wider knowledge of base activities.

We also provide for group training in areas where a large number of plans reflect a common need. Locally we have developed four classroom courses—General Management, Completed Staff Work, Effective Speaking, and Conference Leadership. Some people are scheduled for all of these courses; others only for one or two, depending on what their individual plans call for.

Beside these types of training, some plans call for three more. Some of our people have already gone, and others will be sent, to attend higher management courses at colleges and universities. Others are scheduled for observational tours of industrial plants. Still others will be assigned to serve on various management committees as part of their training.

We are doing all we can to make sure that people in the program get the highest type of training obtainable. In planning courses, we have secured help from the Air University and other outside sources whenever we could. We have arranged for outside speakers to address our groups. We

have made extensive surveys of colleges and universities to find out what higher management training is available, and we have presented justification to Air Force for sending people to these places.

#### Program Reviewed Annually

Every year there is a complete review of the program by each committee. At this time, people who have attained the required level since the last review period are picked up by the program. At this time also, all four phases of the program are repeated. There are new appraisals of everyone in the program. New inventories are made, and replacement plans are reviewed and, where necessary, revised. Individual development plans are reviewed and brought up to date.

In any industry as subject to change as is Kelly Air Force Base, a management development program cannot remain both static and successful. It must be flexible enough to change along with the base if it is to remain an effective program. This necessary flexibility is built in through the annual review procedure.

#### In Summary

This, then, in broad outline, is our program. It has paid us dividends already, and we expect it to pay greater ones.

There is now available to the several committees complete and exact information on what Kelly has in the way of executive talent and potential. Before the program, this material had never been systematically collected and organized.

There now exists a definite and logically constructed plan to fill future managerial vacancies with trained men when the need arises. We have already had occasion to use our replacement plans. We will use them more as time goes on.

The appraisal procedure has uncovered problem areas common to groups of people in the program so that we are now able to plan and provide group training in these areas.

And most important, everyone in the program now knows exactly what he must do to develop himself for a higher position of greater responsibility. Thus, he is able to channel his energies.

# An Approach to Employee Evaluation: The Field Review

Theodore L. Sharp and  
Larry C. White

PERSONNEL people, in general, agree that evaluation of employees is desirable. It is not uncommon, however, to hear them express reservations as to whether the systems of employee evaluation with which they are familiar are completely satisfactory.

Over the years, a variety of rating systems have been initiated and revised . . . attacked and defended . . . discarded or tolerated. There have been production records, man-to-man rating scales, graphic rating scales, consensus ratings, efficiency reports—all with endless variations. These methods and their variations typically involve a rating form or checklist of factors for a supervisor to complete.

The approach to performance evaluation that is to be described in this article is known as the "Field Review Method of Evaluation." It is no panacea, but we believe it answers many of the criticisms that can be made of the more generally used methods of rating employees.

## Common Criticisms of Other Evaluation Methods

Among the more common criticisms made of the other methods of employee evaluation in general use are the following:

1. The rating form uses terminology to describe the employee which the supervisor must define and interpret.

*Result: No two supervisors rate the same way.*

2. The rating form is designed in general terms for application to all types of employees.

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*Result: Terminology is not adapted to employees performing various kinds of work, some of which may be extremely specialized.*

3. The rating form is regarded by the supervisor as an additional paperwork burden.

*Result: The supervisor approaches the task of rating reluctantly and in a poor frame of mind for an objective analysis of the employee.*

4. The rating form is an impersonal link between the operating departments and the personnel department.

*Result: An opportunity is missed to establish a basis for mutual understanding and solution of common problems.*

5. The emphasis of rating forms is on past performance.

*Result: No positive analysis of the employee is made suggesting corrective actions to be taken, training given or required, or the potential value of the employee to the organization.*

## Origins of the Field Review Method

The above criticisms, and others, are met in whole or in part by the Field Review Method. The Field Review Method was originally an outgrowth of extended research of employee ratings and internal placement carried on in the 1930's by Guy W. Wadsworth, Jr., President of the Southern Counties Gas Company, for the Southern California Gas Company and the Southern Counties Gas Company. Those who participated with Wadsworth in adapting the method to evaluate civilian employees of the Army Service Forces during World War II and in developing instructional materials for use in the Civilian Personnel Officers' Training School were E. Hardy Adriance, Robert E. Barheimer, Vincent P. Brennan, Peter Duigan, Judson Ford, J. Jerome Kravitz, Millicent Pond, and Theodore L. Sharp.

### Field Review Method Integrated with Use of Graphic Rating Scale

The Field Review Method has been used in Glendale since 1948. The procedures developed and adapted for use in the army service forces were further adapted to the requirements of the City Charter and the civil service procedures of Glendale. The Field Review Method is not concerned with or particularly adapted to obtaining a numerical score to measure efficiency or performance. Therefore Glendale continues to use a traditional graphic rating scale for annual reviews of permanent employees. These annual graphic ratings are assigned numerical scores to comply with the local legal procedures requiring the civil service agency to give credits on promotional examinations for efficiency, character, and conduct. The graphic rating scales are sent out for rating on the anniversary date of each employee.

The use of the Field Review Method for all probationary employees has had a marked effect on the scores reported on graphic rating scales for permanent employees. The cluster of scores in years past indicated that practically all employees were rated in the same category—above average. The score cluster has now been clearly dispersed. Numerical scores are distributed in a manner that leads to the conclusion that some discriminating thought has gone into the ratings. In addition, much greater use is made of the space on the graphic rating scale form for "comments" by the rater.

The observed changes in the use of the graphic rating scale by raters of permanent employees is attributed largely to the use of the Field Review Method in rating probationary employees. We feel the method has instilled in the raters an appreciation of the importance of employee evaluation.

### The Purpose of the Field Review Method

The purpose of the Field Review Method is to obtain from the supervisor, in his own words, an analysis of how his employees are doing and what the supervisor is doing to develop and make use of the skills and abilities of each employee for the best interests of the service.

### How the Field Review Method Works

A virtue of the Field Review Method of evaluating employees is its basic simplicity. A member of the personnel department staff conducts an informal, planned interview with the immediate supervisor of the probationary employee to be rated. It is ordinarily desirable to hold the interview on the supervisor's home ground. Brief notes are made by the personnel staff man of the supervisor's responses to the queries.

A typical Field Review conducted by a Personnel Technician in Glendale might be very similar to the following:

*Personnel Technician:* Hello there, John. I'm not late for our appointment, am I?

*Supervisor:* Not at all, Al. Pull up a chair. It's a good thing you weren't early or you'd have had to wait. We just took delivery on some new equipment, and I've been out back showing the boys how we want it set up.

*PT:* Always buying new equipment. Wish we had the kind of money to spend that you fellows have. What are you buying now?

(A brief conversation follows regarding the new equipment, its function, savings to be effected, skill needed to operate it, and who will be operating it. The Personnel Technician makes mental notes of these matters, tentatively determines that there will not be any classification problems, but that when the next examination is held for the class of positions involved, a few items should be developed concerning the equipment.)

. . . Well that's certainly interesting, John. That equipment will solve a lot of headaches for you, won't it? But before the morning gets away from us, we'd better talk a few minutes about your new man, Smith.

*S:* Oh, yes, Jack Smith. It's hard to believe that he has almost completed his probationary period already.

*PT:* Let's see. He's an Automotive Serviceman. How is he doing?

*S:* O.K. I've decided that he's going to turn out all right.

*PT:* You sound like you might have had a problem with him for a while.

*S:* Oh, not really. The first few weeks he was with us he used to waste quite a bit of time between jobs. He'd finish up a job and wouldn't make any effort to find out what else we had to do. He had to be told.

*PT:* That is straightened out now?

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S: Oh, yes. Jack is a good worker now. Keeps busy. Doesn't have to be pushed.

PT: What is there that he does well?

S: Well, he shows that he knows what the work around here is all about. Of course, he hadn't had much experience before he came, but he keeps his eyes and ears open. Learns fast.

PT: Learns fast. That's fine. What else is there about him that you like?

S: He gets along well with the other boys. He's quiet and takes a while to get acquainted, but he doesn't cause any trouble.

PT: Good. Anything else? If not, how about the other side of the coin? What are his weak points?

S: Well, let's see. . . . Tardiness isn't a problem at all. He's always here at starting time, but there were a couple of times when he 'phoned in to say he couldn't make it down to work. It wasn't a case of illness.

PT: Oh? I wonder what the problem was?

S: I can't really say, Al. I didn't talk to him about it. We gave him an approved leave of absence without pay for personal business. He just didn't get paid for those days.

PT: What are you going to do if this gets to be a habit? Do you think it would be desirable to talk to him if it happens again?

S: I don't know. I was wondering how I ought to handle it, Al. What do you think would be best?

PT: It's hard to say for sure. A few months ago, though, one of the Foremen over in the Street Department was getting fed up with one of his boys who was beginning to develop some bad habits along this line. They were thinking about letting the fellow go during his probationary period. However, the Foreman had a talk with him, and they had an understanding with each other. They kept the man and he has turned out to be very dependable.

S: I think the thing to do is talk to Jack if he pulls this again and find out what the story is.

PT: Sounds like a very fine idea. However, there are only about ten more days remaining in Jack's probationary period. Do you think this is serious enough to consider letting him go?

S: Oh, no. It only happened a couple of times. It's no problem.

PT: O.K. Any other weak points?

S: Can't think of any now.

PT: Well, then, let's see if I have the story on Smith summed up here. (Reads from notes taken.)

"Doing O.K. Used to waste time between

jobs. Good worker now. Doesn't have to be pushed. Knows work. Not much experience before came here. Keeps eyes, ears open. Learns fast. Gets along well with others. Always on time. Absent couple of times on personal business. Supervisor to discuss with him if happens again."

Does that sound like the story, John? Anything we can add to that?

S: That's about it right there. Oh, you might add that Jack is quick to learn to operate the machines and equipment that we have in the shop. It won't be too long before I'll have one of the older fellows showing him something about the new equipment we were talking about when you first came.

PT: Fine. We'll put that down, too. Do you feel that Jack has some potential for advancement?

S: Yes, I do, Al. If he keeps on picking up information and ideas as well as he has the last few months, I'll be looking for him to come through with flying colors on his first promotional exam.

PT: I hope so. These brighter fellows don't have much trouble with our exams, especially in the departments where they are given a little encouragement and training, like your shop here. Now, John, you've seen these boys come and go. How would you rate Jack Smith as compared to the others? Outstanding? Above average? Below average? Problem? You name it.

S: Well, in some things he is pretty average, but he has some mighty fine points, too. All in all, I'd say he was slightly above average now. He has the makings of a top-notch man if he wants to be.

PT: O.K. I'll note that down here. Now for the \$64,000 question. Do you recommend that he be given permanent civil service status?

S: I sure do.

PT: That does it then. Guess I've taken about all of your time that I can for one day.

S: Oh, that's O.K., Al. We like to get you personnel fellows down here once in a while and show you what it's like to have to work for a living.

PT: We enjoy getting out, John. I'll get these notes typed up just as you've given them to me so that they can be read. We'll send the original over to Mr. Johnson (Supervisor's Department Head) for him to look over and sign. He sends it on to the City Manager, you know. After the Manager has seen and approved the report he'll send it back to us where it is made a part of Smith's permanent personnel file.

### Advantages of the Field Review Method

The statement is frequently made by personnel people that they do not have the staff time available to devote from five to twenty minutes conducting an interview for each employee to be rated. How much time, though, is spent in originally classifying a position? How many man hours are involved in recruiting, preparing the examination, administering and scoring the examination to fill a position? It seems proper for a department that exists to perform the personnel functions for an agency to devote the necessary time to auditing and classifying human resources as well as positions.

It should be noted that judicious planning can eliminate most special trips for the purpose of conducting a Field Review. A checklist of deadline dates for such reviews can be used to good advantage so that Field Reviews coincide with necessary visits to the operating departments.

In Glendale the answer to questions regarding the time involved in conducting field reviews is that the Civil Service Commission staff can't afford *not* to take the time because of the advantages involved.

#### 1. General advantages of the Field Review Method of Evaluation as compared to a rating scale or checklist.

- a. Supervisors are more willing to say it than to write it in evaluating their employees.
- b. Supervisors can use their own terminology to describe an employee.
- c. The questions and answers are in terms of the kind of work performed.
- d. The method lends itself to a careful appraisal of an employee's potential.
- e. The immediate supervisor of the employee is more likely to make the evaluation.

#### 2. Advantages to personnel department.

- a. A more friendly relationship can be established between the personnel department and the operating departments, leading to teamwork in solving mutual personnel problems.
- b. First-hand information can be obtained that assists the personnel department in classification, examining, and training activities.

#### 3. Advantages to management.

- a. Department Heads and the City Manager or Chief Administrative Officer, reading the analyses by supervisors of their employees, learn some of the strengths and weaknesses of the supervisory staff.
- b. Management has some assurance that probationary employees are deserving of permanent status.

#### 4. Advantages to supervisors.

- a. The fact that his superiors and the City Manager are interested in obtaining from the supervisor his evaluation of the work of his employees leads the supervisor to make frequent, even daily, evaluations of the work performed.
- b. Supervisors learn to appreciate and seek guidance in supervisory techniques from the staff of the personnel department. Sound principles and sound theory can be expressed in terms based on concrete examples and the practical experience of another department.

#### 5. Advantages to employees.

- a. As a supervisor assumes his responsibilities and becomes a supervisor in fact as well as in title, each employee is more likely to receive daily encouragement, correction, training, and advice at the time when it does the most good.

### Summary

The substance of the Field Review Method, as used in Glendale, is summarized in the following questions:

HOW IS THE EMPLOYEE DOING?

IN WHAT WAYS IS HE PARTICULARLY GOOD?

WHAT DOES HE DO WELL? WHY?

IN WHAT WAY IS HE PARTICULARLY WEAK?

WHAT DOES HE DO POORLY? WHY?

WHAT HELP HAS BEEN GIVEN TO HIM?

WHAT HAVE THE RESULTS BEEN?

WHAT TRAINING HAS HE HAD?

WHAT TRAINING DOES HE NEED?

HOW DO YOU EVALUATE HIM IN TERMS OF OTHER EMPLOYEES?

SHOULD HE BE GIVEN PERMANENT STATUS?

# Improving the Federal Classification and Pay Program: Some Suggestions

John Bamberg

THE Hoover Commission, Congress, and others are giving increasing attention to the need for changes in the federal classification and pay program. So far, most of the changes made or suggested have been as amendments to the Classification Act of 1949 which furnishes the legislative basis for the program. Few critics have sought to reexamine this basis itself in terms of fundamental principles.

## The Present Federal System in Brief— Two Basic Features

The Act of 1949 establishes two basic features which determine the nature of the program. First, it establishes a grading system around a general schedule with 18 grades, commonly expressed as GS-1, GS-2, and on to GS-18. This system is premised on the theory that each grade level can be defined in terms of relative difficulty and responsibility, and that individual positions can then be placed in the appropriate grade according to the work performed. Each grade is defined in the Act; but these definitions are of necessity so general that they are of little practical use. They are, therefore, supplemented by Classification Standards issued by the Civil Service Commission.

These Standards are prepared for "series" of positions, a series being a grouping of work assignments having similar recruitment qualifications and offering a progression of difficulty and responsibility from grade to grade, forming a line of promotion. A series in these Standards usually covers an occupational area or line of work, for example, storekeepers, accountants, or civil engineers. Many are general, covering a variety of work in government employment. Standards have not been prepared for all series; and where there are none it remains necessary to

classify positions against the general grade level definitions.

But whether by direct comparison of positions against grade definitions or by indirect comparison through the use of Standards, the crux of the system is that all kinds of work—doctors, lawyers, Indian chiefs; butchers, bakers, candlestick makers—must be classified to a common grade scale on the basis of an evaluated comparison of difficulty and responsibility from one occupation to another. This has proved difficult; and partly to meet this difficulty, the Commission has retained the prerogative of preparing all Standards and has used these Standards to establish the range and sequence of GS grades for each series. In practice, then, the Standards rather than the grade definitions have become the basis for classifying positions, and the coverage and quality of the Standards writing program are critical to the operation of the program. This has also tended to keep the program centralized in the Commission.

Second, the Act prescribes that all positions which classify to the same GS grade will receive the same rates of pay. This is the concept of equal pay for equal work as it is now used in the federal system.<sup>1</sup> This concept has the effect of establishing a uniform rate of pay for diverse kinds of work based upon difficulty and responsibility. Conversely, it excludes consideration of all other factors in wage setting, such as cost of living, labor market, recruitment needs, and others.

It is worth noting here that this interpretation of the idea of equal pay for equal work is peculiar to the federal classifica-

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<sup>1</sup> This concept is not expressed in the original Classification Act of 1923; but appears in the revised Act of 1949 as a basic principle. In the Act of 1923 it appears only as a special interest group clause inserted to insure "equal compensation for equal work irrespective of sex." So in truth we owe one of our now major principles to the feminist movement!

tion program. As the idea is used elsewhere in the labor relations field it intends that employees assigned to similar jobs shall receive the same pay. It is intended to prevent discrimination between individual employees and is not associated with classification of positions.

These two concepts of a predetermined grade scale for classification and of equal pay for equal work are now ingrained into the federal system so deeply that they are often considered fundamental principles. Few of the suggested changes have challenged them. The following discussion seeks to show that they are not fundamental principles which must be preserved. On the contrary, they are the source of many of the problems in the present program. It seeks further to define some controlling principles and outline some suggested changes in line with these principles.

#### Fundamental Principles

Classification is essentially an orderly arrangement of positions for pay purposes. To be orderly, and to establish a base for pay setting, the arrangement must be natural to the work classified and to the working conditions in which it operates. Since both the work and the labor market conditions throughout federal employment are varied, no single arrangement will be natural to all position series. Also pay rates should be appropriate to the work in terms of all the factors in the labor-management situation influencing the pay for the particular work where and when it occurs. Consequently, pay rate determinations must become a matter of individual wage analysis applied to each separate series.

An essential requirement of classification and pay according to these principles is decentralization of the activities to organizational levels close to actual operations. However, consistency (not necessarily uniformity) of policy and coordination of program is essential. To achieve this would require both an expansion of coverage by a central staff agency (the Civil Service Commission) and a redefinition and redistribution of authorities and responsibilities between this central agency, the departments, and the operating offices.

Discussion of such a reorganization is beyond the scope of this paper; but the system of classification and pay suggested here is dependent upon active participation at the operating levels.

#### Changes Suggested by These Principles

Applying these principles to the problem of improving the present federal program, a basically different system is suggested. This system would base classification upon position series rather than upon a general scale of grades. These position series would each be limited to an actual work operation rather than covering a broader occupational area. For example, accountants working as auditors would be defined in a separate series from accountants maintaining an agency's fiscal controls; civil engineers in plant maintenance would be defined separately from civil engineers in design of public works. Each series would be divided into grades within the series, but these grade levels would be defined solely within the series. No attempt would be made to relate the grade levels in one series with those in another, or to relate them to a common grade scale.

The number of levels used would be determined by the way the work was actually divided for assignment in operating situations and would be defined in terms which the supervisors and employees performing the work would readily recognize as requiring higher skills and experience. No attempt would be made to conform to a predetermined sequence of grades or to conform the descriptions to grade definitions such as those in the Act or to the terminology of a universal set of classification grading factors.

The system would provide a schedule of pay rate ranges with step increases within each range similar to the schedule now provided in the Act or in the Army-Air Force wage board scale. It would differ from the schedule in the Act, however, in that the ranges would not be affixed to a classification or position grade. Any "grade" number attached to this schedule would only designate a range for identification purposes. When a position series had been defined, each level within the

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series would be assigned to its appropriate pay range. This assignment would be made upon determination of the pay for that particular work in consideration of all the factors in the socio-economic labor market situation in which it occurred. In some lines of work this would result in federal-wide rates; in others, it would be made in terms of "wage areas" similar to the present wage board plans; in still others it would be made to fit specific wage requirements for a particular line of work.

This system would differ from both the federal classification plan and the wage board plans in that it combines features of both; or more accurately, in that it abolishes the present artificial distinctions between positions covered by the Act and jobs not covered by it. Since both of these groups of jobs are frequently present in the same operations, the distinctions make little sense, and the dual pay system creates serious problems.

These problems do not exist because the two separate systems of federal-wide and area wages are not valid. They exist because the line between them is drawn in terms of *kinds of work* rather than in terms of *factors influencing pay rates*—in terms of position classification instead of pay setting principles. Pay for stenographers and secretaries may be influenced by locality wage rates as positively as pay for laborers and mechanics. Secretarial aids and administrative assistants will be less influenced, and locality rates will have little influence on the salaries of executives, administrative officers, and managers as recruitment and assignment become federal wide.

The concept of locality prevailing wage rates, however, approaches the suggestion of setting rates after considering all factors in the wage situation. It misses the full scope of the suggestion, however, because this concept is a generalization which has lost some of its validity by moving away from basic principles to mechanical application of assumptions. It assumes that the existing rates for any line of work in an area are the result of all the wage factors pertinent to it, for example, cost of living, labor supply, job tenure, isolation, and other working conditions. In the case

of the Army-Air Force plan it is assumed, further, that when the locality rates for a limited number of jobs have been determined, these will establish a "wage curve" by which rates can be set for other jobs.<sup>2</sup>

If these assumptions are applied to setting rates for any series of positions without first evaluating their appropriateness to the work, the results are subject to error. If they are evaluated in terms of each factor in the wage situation, this evaluation itself becomes a process of setting rates by those factors. So, in effect, the concept of prevailing rates is only a short cut designed to simplify a process which, unfortunately, is one of analysis and cannot be simplified without loss of validity.

Obviously, such wage setting would require controlling pay policies, decentralization of authority, trained wage analysts, and staff review. But these are essential to any system. They now exist in varying degrees in different government departments for wage board jobs. Their absence under the Classification Act, where the controls have been by Congressional revisions to the law, has been a major problem in maintaining equitable pay.

#### Origin of These Suggestions—A Historical Perspective

The ideas expressed in these suggestions are not new. They are substantially the same as those expressed in the Classification Act of 1923, but largely lost in the revised Act of 1949. Let us take a brief historical perspective.

The two concepts of a common grade scale encompassing all positions and of equal pay for equal work across diverse lines of work are not defined or established in the Act of 1923, despite a common misunderstanding to the contrary. They appear in the Act of 1949; but there they are in effect a codification into law of regulations previously promulgated by the Commission.

What the Act of 1923 did establish was that all positions in the Departmental service in Washington as of that time

<sup>2</sup> Other government departments do not accept this assumption; and their opposition has been a factor in preventing federal-wide extension of a similar plan.

could be arranged into five natural groups, with each group divided into a variable number of levels or "grades," and that at that time each of these levels in each group was to be paid a rate stated in the Act.<sup>3</sup> This Act did not correlate the definitions of the separate grades from one group to another, nor indicate a comparison of difficulty and responsibility across groups. Neither did it indicate that the coincidence of pay rates for grades in different groups represented an equation of pay.

It was only later, when for convenience of printing the four annually paid groups were listed in vertical columns, that this coincidence began to give rise to the fallacy that CAF-5 clerks and SP-6 aids and P-1 professionals were of equal rank because they were listed in line to make one column of rates suffice. Likewise, this form of printing the rates in only one column began to generate the idea of equal pay for equal work.

The survey upon which the 1923 Act was based became out-dated and new series of positions developed which did not fit into any of the groups. One adjustment was made by changing the Custodial group to include Custodial, Protective and Crafts (CPC) jobs. But the lines of demarcation between subprofessional, professional, and administrative work became increasingly troublesome. So the problem was buried by merging three groups (P, SP, and CAF) into the General Service (GS). The merger was accomplished by telescoping the vertical listing of the former groups along the lines where pay coincided. Thus SP-6, P-1, and CAF-5 became GS-5; SP-8, P-2, and CAF-7 became GS-7; and so on.

This clinched the idea that the work in these diverse levels was equal in difficulty and responsibility, as well as the idea of equal pay for equal work. But even the most ardent supporters of these ideas had difficulty editing the separate grade definitions into single definitions for the new GS-grades. Some sought to solve this prob-

<sup>3</sup> These were the former Professional Service (P), the Subprofessional Service (SP), the Clerical, Administrative and Fiscal Service (CAF), the Custodial Service (Cu), and the fifth and almost forgotten Clerical-Mechanical (C-M). Forgotten, too, is the fact that this fifth group was paid on an hourly basis.

lem by omitting the definitions from the revised Act; but others prevailed and the problem was resolved principally by tying the three separate definitions together with semicolons.

In this perspective it is apparent that these concepts of a GS-grade scale and of equal pay as now used are corruptions of the basic principles previously used in setting up the initial system.

#### Some Applications of These Suggested Changes—A Summary

These principles can be restored by discarding the unwieldy and artificial general schedule in favor of position classification based upon realistic job series, and by setting pay for the separate series by wage analysis.

Two closely interrelated problems have been obtaining acceptance and understanding of classification programs by operating supervisors and employees, and the preparation of Classification Standards which they can use. The first of these problems has been intensified by the nature of classification literature including the Standards—which are written in technical language and generalities enforced by the broad coverages mentioned earlier.

Both of these problems are largely solved by the use of position series limited in coverage and defined specifically to fit particular operating organizations. Then the series definitions and grade level distinctions—i.e., the Classification Standards—can be written in the language of the jobs. One aspect of this improvement is a revision of the idea of a series. Heretofore, for example, all storekeeper positions have been considered as one series, and the repeated failures to prepare useful Standards for them are now classic. But the reason for these failures is simple: there is no single storage series. There is a real storage series applicable to Air Materiel Depots with similar jobs in many locations—jobs having common duties and responsibilities because they are operating under a common storage plan. That operational plan can be readily translated into job level definitions or Classification Standards which are clear enough so that any competent storage supervisor can understand

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them and apply them to his work force. But this Air Materiel series is a different storage series from storekeepers in Quartermaster Issue operations, or General Services Administration warehouses, or Veterans hospitals, or at construction site storage yards. All these are storekeepers; but they are all different enough to require separate Standards.

Other occupational groups lend themselves to similar treatment. The Civil Engineer series which has defeated years of effort at Standards is not a single series. Civil engineers on construction projects, on land surveys, on design work, on research, and on post maintenance are all doing work too different to be described in a common Standard. Similarly, medical officers in hospitals and those in public health service are performing work so varied that it requires separate definition in terms of the functions and services performed. On the other hand, some job series are universal enough to be defined for federal-wide use. A good example is that of secretary, and it is significant that successful Standards have been prepared for it precisely because it is a real series and was written in terms of operating conditions. The Position Classifier series is another; and the superiority of the Army's Standards for this series over those of the Commission can be attributed to the fact that they, too, are written in terms of actual work assignments.

The Hoover Commission recommendation to reduce the number of grades in the General Schedule highlights the problem of determining the correct number of levels within a series and the amount of pay spread between them. This problem was met in the Act of 1923 by a natural grouping of series and a different spread of pay in each group. It can easily be solved again when each series is defined separately without the limitation of fitting each series into a common scale. This permits recognition that some series will require wide spreads because of wide differences in responsibility in successive assignments; while in other series the differences, although small, are still important in recognizing internal alignment among the positions.

Another major problem has been to

draw distinctions between professional, subprofessional, clerical-administrative, and crafts work under the Act, and between these positions covered by the Act and those not covered, i.e., the "wage-board" jobs. These difficulties arise from the fact that the distinctions are not real. Neither work assignments nor men's skills and abilities will conform to the artificial definitions which have been attempted.

As an illustration, cartographic drafting work runs the full range from simple tracing through graphic presentation by application of mapping principles to creative expression in interpretation of data and devising methods. At the lower end it is obviously work for ink-slingers; at the higher end it is equally obvious that it requires professional training. But at the intermediate levels it is of little consequence whether the work is assigned to "subprofessional" draftsmen who have learned their trade at the drawing board, or by college-green engineers learning how to work; or whether the supervisory positions are filled by experience-seasoned draftsmen or by professionally trained engineers. Nor does it make sense to draw a line above which "subprofessionals" cannot advance without the magic of a college degree.

Another closely associated problem is the disparity created by the pay system for Classification Act positions and pay plans for wage board jobs. It can happen that classified supervisors make less pay than the wage board employees they supervise. This problem, too, can be solved by the use of job series describing actual operations. For example, when the jobs in a shop are described as part of a series extending on up through the foreman and superintendent, and when the pay rates are determined for the series as a whole, it becomes of little matter where blue collars change to white. It simply becomes unnecessary to distinguish between craft jobs and noncraft work for classification and pay purposes. Both are integral parts of the same series and same pay scale.

### In Summary

Classification and pay administration is a simple matter in theory and principle.

*(Continued on page 38)*

# The Anatomy of Pay Plans

Edmond F. Ricketts

**S**TRIPPED to its barest essentials, a pay plan is a list of job titles, each associated with a number of units of the currency of the realm, supported by the established understanding that the people who bear the titles will get the stated compensation for attention to or attendance at the place of duty during a stipulated period of time.

There are still many pay plans which have little more than these essential elements. And, happily, there are places where these elements will suffice to constitute a good pay plan—providing that each title has a consistent meaning in job content, the numbers are wisely chosen, the currency is a stable one, and the period of duty reasonable in relation to the work of the class and the number of units of currency.

This article, however, is concerned with the form and structure of pay plans. The homogeneity of the content of each package of jobs bearing the same title belongs under the heading of "classification." And, since structure is the focus, it is possible to pass by that very broad and trying group of problems which relate to the principles and the manifold methods of choosing the particular number or numbers of monetary units that should be associated with each of the job titles.

Thus, attention is centered on what is called, in the language of the trade, "the schedule of pay rates."

1. Should there be a schedule of pay rates?
2. To what amount or amounts of work time should the pay rates be related?
3. How many pay levels or pay grades should the rate schedule recognize, and what should be the mathematical relationships, if any, of each pay grade or level to the others?
4. Should there be pay ranges and, if so, how long, and with what intervals?

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## A Pay Rate Schedule?

It is not difficult to arrive at an affirmative answer to the question whether there should be a pay rate schedule. Think, for a moment, of a pay plan for the service of even a small municipality and of the lowest and highest values which may be expected there. In terms of monthly rates and whole dollars, the quantity of available numbers runs at least to four or five hundred. If the range of choices is enlarged to include only those fractions of dollars which are recognized by our system of currency, some 40,000 or 50,000 rates will be available.

A selection is inevitable. And when judgment has been exercised, consciously or unconsciously, as to which of the available rates shall be used, a rate schedule exists. The question, then, is not whether there should be a schedule of pay rates, but whether it is well or poorly designed for the purposes which it may be expected to serve.

## Work Periods and Pay Rates

Once it has been recognized that some selection—preferably a conscious one—has to be made from among the available numbers, the next step is to decide on the interval of work time to which the pay rates should be related—hour, day, week, two weeks, month, or year.

A number of factors are relevant in deciding which work period the pay rates of the schedule should be associated with. The existing practices of the jurisdiction should certainly be considered. Employees have come to think of their compensation in terms of the prevailing intervals to which their rates are tied. Members of legislative bodies, too, have adjusted their thinking to this frame of reference. Payroll procedures and budgetary practice have been built around these intervals. No doubt, too, in many local jurisdictions the established pattern more or less reflects that which prevails locally for corresponding jobs in private employment.

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To the extent that this is true, that pattern makes things somewhat easier for applicants and employees in their appraisals of some of the advantages or disadvantages of employment with the jurisdiction.

The habitual and the accepted ways of doing things, however, are not necessarily the best. Since this is true, it would be well to predicate the selection of the intervals of work or duty time not only upon the results of an inquiry into what the present practices are but also upon some appraisal of how well the existing scheme of things fits the present and prospective needs of the jurisdiction. This broader type of inquiry may reveal that the current system has disadvantages which are suffered only because they are supported by the inertia of tradition. For example, a system of monthly rates may perpetuate inequities in pay like those implied in a plan which provides that a given classification receive the same rate for 40 hours of work per week as for 44 or 48.

It is well to remember, also, that personnel and general management in governments has been noticeably changing during the past couple of decades. Before World War II, pay in cash for governmental overtime, whether at a straight-time or premium rate, was very much the exception. The length of work weeks varied, often widely, as between different occupational groups and not uncommonly between employees of the same vocation in different departments or different locations, all within the service of one jurisdiction. Most people were glad to have jobs, and for the most part they seemed content to take payment at those intervals which served the convenience or conformed with the tradition of the governmental unit for which they worked. If they worried about inequities, their worries were not taken too seriously by the officials who fixed pay policies. Concern for precision in recording, reporting, and assessing governmental operations and in relating money spent or to be spent to units of time and work was conspicuous, chiefly, for its rarity.

Whatever the reasons—high employment, labor shortages, more unionization—the era of rough justice in employment

relations is passing. People on the receiving end of pay plans are making known their opinions as to how often they should be paid. More important, they are showing an increasing awareness of the work period to which their own rates and those of allied workers are related. Governments, increasingly, are recognizing that a double standard as between governmental and private employment with respect to overtime and pay for overtime cannot be successfully maintained much longer, and a great many jurisdictions have already abandoned the attempt to do so.

Governments are becoming much more management-minded. Among the manifestations or products of this trend is the more active pursuit of identifiable units of work, units which may be measured in terms of cost and, hence, in large degree, in terms of the number of them which one man or several men working together may perform in one hour.

These recent developments affecting government management, combined with the procedural awkwardness which attends a system of monthly pay rates and monthly or semi-monthly payments, strongly indicate greater attention to the hour as the basic unit in the rate-time relationship. They also suggest that the rate schedule should be developed first in rates per hour and that hourly rates should be the ones from which rates for other amounts of working time will be derived. They indicate, finally, that the derived rates for periods longer than one hour should be tied to an interval of time which always has the same number of hours and does not vary in this regard from month to month, as do the calendar months.

These conclusions should not be interpreted as a recommendation that hourly rates should be employed in the schedule of rates to the exclusion of rates for other intervals of time. Nor, for that matter, should they be taken as advocacy that hourly rates should be used for every type of presentation. Finally, they do not imply that every pay schedule be abandoned if it is not already developed from and at least partly expressed in terms of hourly rates. The conclusion is a firm one, however, that the next revision of any pay rate

schedule, not now so based and so derived, should include a careful appraisal of it in relation to the common denominator of one hour.

#### Number of Pay Levels

Unless governments adopt and universally enforce the policy that everybody should be paid at the same rate per hour, day, month, or year, the question of how many pay levels or pay grades should be included in the pay rate schedule will continue to be debated. Agreement can be reached, however, that there must be at least two pay grades: the bottom and the top. In setting up a pay plan for a particular jurisdiction, agreement also must somehow be achieved, or a decision taken, about pay grades between the lowest and highest.

The practical issues for the pay plan developer who has concluded that there should be a lowest level and a highest level and some additional grades in between begin with the question: At what rates shall the lowest and the highest be fixed?

As to the location of the lowest, an intriguing point of view is that no employee should be paid less than what he needs for the necessities and some of the amenities of life. A glance at any set of public assistance budget standards will demonstrate, however, that the minimum needs of the individual are influenced by a multitude of factors in addition to the number of persons dependent on him for necessities and amenities. A wide variety of these personal situations is represented in the service of any public jurisdiction.

Obviously, it is not easy to try to put into effect the principle of paying no employee less than he needs. How does one assess the varieties of needs of all the different personal situations that may be encountered in the lower reaches of the pay plan? How does one obtain current data which identify the costs of the different elements of need for different personal situations in the general geographic area in which the pay plan will have effect? A further question is: Should a particular jurisdiction adopt a policy of recognizing differences in the personal situations of its employees in terms of the amount of money

it pays them when it either lacks the authority to apply such a policy to all other employers or, if it possesses that authority, has not exercised it to this end?

Another possible criterion with respect to the monetary value of the lowest pay level is the governmental minimum wage policy for private employment. Policy determinations in this field must have relevance to something, but the difficulty is that under our governmental system the federal minimum wage may not accord with the prevailing judgment of a particular community or larger area as expressed in the practices of its employers and the provisions of collective bargaining agreements in force. It seems only reasonable that a jurisdiction should have some latitude about adopting a policy which another government applies to private employers but not to itself.

Perhaps the best approach in general is to take a careful look at the local market and be guided primarily by it with respect to the less well paid classifications, but with enough attention to relief budgets and such other cost-of-living data as may be obtainable in order to avoid the possibility of committing the jurisdiction to a policy which is socially indefensible in terms of the personal situations which seem most characteristic of employees of those classifications.

As to the highest pay grade, it would be discourteous to say the least, to fix this grade at or above the level at which the chief executive of the jurisdiction is compensated without first consulting him. If this officer is not approached or approachable on this matter, the highest level probably should be placed somewhat lower on the scale. Again, the market seems the best general guide as to where to place the upper level, within the limits imposed by the salary of the chief executive.

Conclusions about the number of rates between the lowest and the highest, and about their relationships one to the others, involve at least as much difficulty as do those concerning the locations of the lowest and highest pay grades. It is impossible here to list all of the factors which are likely to influence such decisions in developing or revising a pay plan for a partic-

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ular unit of government. It is possible, however, to identify some of the more important factors that need to be considered.

1. The characteristics of the service to which the pay plan is to apply. In general, a service which is complex occupationally is likely to require more pay levels than one that is relatively homogeneous. It is doubtful, for example, whether the uniformed services of a relatively large city will demand as many pay grades as the entire service of a city having only a few hundred employees. In the latter, a greater variety of forces will be at work within and outside the service that may have to be mirrored in the pay plan.

2. The fineness with which judgments about the correct relationships of classes may be made. Sometimes it is represented that the relative monetary worth of two or of many classes can be measured with great precision and that such precise measurements can be objectively and successfully supported and maintained. Those who are skeptical of such claims will be more inclined to avoid pay levels that are so numerous and so close together as to imply the possibility of highly refined judgments.

3. The ways in which, and the extent to which, the pay schedule is intended to serve as an instrument of control or, conversely, as an instrument which affords flexibility in pay policy and administration. The tendency of a pay schedule having a relatively small number of pay levels is to limit the number and frequency of spot reassessments of classes to pay grades. After all, if pay grades are relatively few and far between the financial implications of the spot adjustment will be greater and the disruption of internal relationships more conspicuous and hence more troublesome. In general, a larger number of pay levels favors more frequent adjustments on a spot basis and facilitates the job of keeping the pay plan in line with labor market tendencies.

4. Personnel actions should be facilitated, not made more difficult or even more ridiculous to those interested in and affected by them. For example, the levels should be so related that, on the one hand, when an employee is promoted he will not be confronted with an insignificant raise yet, on the other hand, the jurisdiction will not be faced with an excessive pay adjustment.

5. The pay schedule which is expected to last a long time should probably make available a larger number of pay levels than one of short life expectancy, or at least be so constructed that additional grades may be easily and harmoniously derived from it.

Consideration of the factors mentioned above makes it possible to offer somewhat more definite suggestions about the proper number of intermediate levels. For the purposes of this discussion it is not unrealistic to assume that, excluding chief executives, chief administrative officers, and members of the judicial and legislative branches of government, the highest pay level is likely to be four, five, six, or perhaps seven times as great as the lowest. In the smaller jurisdictions the spread will probably be less than in the larger ones. Perhaps it should be assumed, further, that the top is \$1,000 and the low \$200 per month. If intermediate pay levels are established at intervals which make each one larger than the next lower by about two and one-half per cent, there will be some 60-odd pay levels. With five per cent as the factor, somewhat more than 30 may be expected; at about ten per cent, the number becomes 17 or 18.

Which of these three figures seems the better one? The largest or next largest number of ranges—about 60 or 30—seems better than the smallest number among the three choices offered—(1) if the service is reasonably diversified, (2) if the schedule of pay levels is intended to facilitate rather than restrain adjustments, and (3) if the mere existence of this number of pay grades does not necessarily imply the assignment of classes to each and every one of them. If the pay level structure is intended as a long-run instrument, with the need for accommodating blanket adjustments for cost-of-living changes, the preference for 60 over 30 grades might grow.

What should be the relationship of each pay level to the next higher or next lower? Should the relationship be precise in mathematical terms, and uniform from top to bottom? Should there be differences in relationships as between the lower, the intermediate, and the higher group of pay grades? It is possible to imagine circumstances which might dictate a choice between these two alternatives. In general, however, it would probably be better to begin by working towards uniformity with at least roughly corresponding mathematical relationships.

### Pay Ranges

It is clear that ranges of pay rates—more than one rate, that is, for each pay grade—are not actually necessary. In fact, many people think that more than one rate for a job classification is undesirable. This body of opinion probably includes one or more of the following points of view:

1. Employees who do the same work ought to get the same pay. This is a cardinal principle to almost all personnel technicians, at least in theory. The principle does not eliminate, but only sharpens, the question whether there are any two people who do exactly the same amount and quality of work at jobs which are identical in all respects.

2. If flat rates are used, it is easier to arouse employee interest in getting higher rates and in getting them fixed at the higher plane on a permanent basis than if there are considerable numbers of employees who can still look forward to further increases by reason of the working of the pay range system. Whether one adopts this point of view is likely to be influenced by one's location at the bargaining table.

3. A system of pay ranges creates nothing but complications, or, put more temperately, the inconveniences outweigh the realizable advantages.

Unless the arguments against pay ranges have been grossly understated, the counter-arguments seem more persuasive. They include:

1. A pay range will probably be more in conformity with the values placed upon a particular class of work by the community generally, because other employers as a group do not often attain that uniformity of practice which is represented by a flat rate. To state this another way, the establishment of a flat rate implies that this one figure is clearly, demonstrably, and beyond any doubt *the correct rate for a particular kind of work*.

2. A pay range offers an opportunity to recognize differences in performance by different employees who work in the same classification as well as the increasing usefulness that may be expected of the employee for some time after he enters upon his duties.

3. Many classifications in the public service include jobs which differ somewhat in responsibility and scope of duties, partly but not entirely because of differences in levels of performance. Theoretically, it would seem that a

pay range would permit the recognition of such differences. As pay ranges are ordinarily used, however, the correspondence between variations in the scope and responsibility of the work and the steps at which employees are paid in the range for the class is likely to be in some measure a correspondence between complexity of duties and length of service. Still, this possible use exists, and in some places a conscious effort is made to take advantage of it, sometimes with some success.

4. Finally, the existence of a pay range probably has some value in keeping employees interested in working for the employer, and perhaps in keeping them working in a satisfied sort of way, even though it may be only for the period during which the pay range affords them increases. This view, of course, assumes that the steps are sufficiently large in relation to what the employee receives for him to be able to know that they exist.

There is no rule of universal applicability for determining how long pay ranges ought to be. The decisions made about this and other characteristics of the ranges—the number of steps, the size of the intervals, the frequency of upward movements through the steps—partly depend upon what the jurisdiction wants to try to do and what it wants to avoid doing.

In general, it is desirable to avoid so constructing the system of ranges as to:

1. Deprive the policy-making body of effective control of pay levels and the rate of expenditures for personal services from year to year by reason of a one-time commitment with respect to the breadth of pay ranges.

2. Continue to increase within-range rates far beyond any reasonable appraisal of the job's worth by reference to relevant criteria, or, conversely, set the minimum rate of the range at a level which does not measure up to the practical recruiting requirements of the jurisdiction.

3. Remove the financial incentive for the employee to seek and accept promotion, and make it possible for subordinates to get about as much as or more than their supervisors earn.

The need to avoid some or all of the consequences just indicated suggests that a spread from minimum to maximum of 30 or 40 percent or more of the minimum rate may ordinarily be excessive.

With this observation, it is appropriate to turn to the question of the size of steps.

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Here, a reasonable general rule might be that the step should be perceptible. What is perceptible depends upon perspective, however, and acuity of vision. In an era of deductions for withholding, retirement, social security, hospitalization, group life insurance, credit union, bonds, and union dues, a step which serves to increase the gross pay rate by only one, two, or three percent probably is not sufficiently perceptible to have the desired effects. At the same time, it is necessary to recognize that the rapidity with which steps are ascended will have a bearing upon the employee's awareness of the existence of a range which benefits him. The conclusion, then, is that the step should be roughly proportioned to the next lower step, and that it should be big enough to be seen, either by reason of the cumulative effects over a short period of time of several smaller steps or because of the larger size of the single step which is taken less frequently.

How many steps should be provided? Considering the objectives which may be served by pay ranges, it would seem justifiable to have relatively longer ranges for some classes than for others. Those classifications to which longer ranges should be assigned probably should have one or more of the following characteristics:

1. The class is one in which substantial opportunities exist for the employee to enhance his usefulness over an appreciable period of time.
2. The class is one which offers very restricted opportunities of promotion, by reason of the nature of the work and the characteristics of the governmental function which it serves.
3. The class is one in which appreciable differences in the scope of work among assigned positions are likely to be found, or where significant qualitative or quantitative differences may exist among workers in performance.

A special aspect of the subject of pay ranges which today is becoming increasingly important is that of longevity adjustments. A number of jurisdictions have already adopted longevity increase plans, and the number of employee requests for such schemes is increasing.

Longevity pay plans need to be consid-

ered as what in fact they are: plans for affording additional range steps which are administered under limitations differing from those applicable to the other steps of pay ranges. Longevity increase plans, before and after their adoption, need to be examined carefully in terms of long-run implications—implications for the financial position of the jurisdiction, for its recruiting situation, and for the soundness with which available funds are apportioned among all of the possible personal service types of expenditures. It may be that longevity increases should not be applied at all to certain classifications, very conservatively to others, and rather liberally to the workers of some few classes.

### In Summary

Consideration of the desirable structure of pay plans presents many problems which can be soundly solved only in the light of the specific requirements of each jurisdiction. Necessarily, the answers will differ from place to place, and the fact that different answers are forthcoming in different places does not mean that one answer in one jurisdiction is right and the opposite answer is the wrong one for another governmental unit.

The complex of factors involved in setting up a good pay plan and the lack of objective devices for their appraisal probably imply that the development of the structural aspects will have to remain, for a long time to come, one of the difficult practical arts. Perhaps it is appropriate to express the hope that those few personnel agencies which have the staff and funds for research will devote some small part of these resources to examining some of the many points of view on pay plan construction which at present can at best be regarded as only useful and reasonable working hypotheses. More frequent recording and reporting by individual jurisdictions of the reasons for adopting a particular approach to a particular problem or set of problems would be helpful and illuminating for personnel agencies in other jurisdictions that have the same or similar problems.

# The Values of Public Service

John D. Millett

**A**MONG political scientists, and especially among students of public administration, there has been a considerable interest in recent years in discussing the moral bases of public life. Some of this interest arose from the recent revelations of malpractice in government by such committees as the Kefauver Committee to Investigate Organized Crime in Inter-State Commerce and the sub-committee of the Senate Committee on Labor and Public Welfare, often referred to as the "Ethics Committee" or "Douglas Committee" of the United States Senate. A goodly number of newspaper and magazine articles resulted from these inquiries in addition to a volume by Senator Douglas and at least two monographs by political scientists. The matter of ethical standards in government service played its part in the 1952 Presidential election. Nor has the subject been entirely forgotten in the past three years.

Among students of public administration, there has likewise been a good deal of discussion in recent years about the set of values which does, and should, motivate public service in the United States. Two or three commentators have noted that the highest standard of conduct usually advocated in most treatises on the subject of public administration was efficiency. Yet in the words of one scholar, who was himself devoted apparently to the concept, efficiency was admittedly amoral; was a standard of conduct subservient to ends which he as a student was not disposed to question. To others, any attempt to eliminate a discussion of ends from the study of public administration was both unrealistic and undesirable. Yet there has been little detailed agreement about a particular set of values which should motivate

the life and conduct of the public servant.

It has been pointed out in recent literature concerning ethics and values in government that we Americans are often self-conscious about any effort to make explicit the ends we expect government to serve. The very fact that to some degree we still look upon government as fundamentally evil accounts, perhaps in part, for this reluctance. An excessive sense of legalism and perhaps an undue faith in certain mechanics of governmental operation may have given us a false sense of security. A society tinged to a large degree with a sense of pragmatism has not felt any overwhelming need to make its moral values explicit. For these and other reasons, we Americans, and especially we who are interested in the public service, are more apt to take an interest in gadgets and processes than in fundamental purposes and values. To say the least, this pre-occupation seems shortsighted. It is well from time to time to remind ourselves that public administration serves great ends, moral ends.

As I have reviewed the various discussions and writings about this subject of values, I have come to the conclusion that essentially there are three fundamental values which those in the public service must ever be concerned to maintain. For lack of better words, I would label these values: satisfactory service, responsible performance, and good government. I should like to say a few words about each.

## Government Service Must Be "Satisfactory"

To readers of *Public Personnel Review* there is little need to dwell at length upon the standards of performance which constitute satisfactory service. In public administration there are, it seems to me, at least five elements which together evidence satisfactory service. If the work performed by government agencies is to be satisfactory, it must be equitable, timely, ample, continuous, and progressive.

Equitable service means treating every-

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one within the limitations of law equally. It means avoiding favoritism. It means considering each individual as important in and of himself. To be timely means to operate on schedule and to get work done promptly. To be ample a service must be prepared to handle the load required by law. I suppose this is as troublesome a standard as any to meet today when population is increasing, when economic activity is at its peak, and when prices are tending to rise. Yet, the public service cannot be satisfactory unless its scope is sufficient to meet the needs of all who are entitled to be served by a particular operation. To be continuous means that service must operate at all times when it is expected to meet some fixed requirement. There are many examples. The postal service is not satisfactory unless it operates every day. The police and fire services are not satisfactory unless they are on the alert 24 hours a day. The job of government continues through each week, each month, and each year, and administrative officials have an obligation to ensure that their operations are not interrupted unnecessarily. Finally, satisfactory service must be progressive. No one needs to argue to Americans that they should believe in progress. In the public service progress means improvement; if you will, it means increasing efficiency in the operation of any particular activity. It means doing more work at less cost. It means rendering a better service as our technical knowledge and proficiency increase.

These standards of satisfactory service are well known to all who labor in government. These standards are a part of the American tradition. They are deeply imbedded in our expectation. They are firmly grounded in the moral conviction of Americans. Together these standards make up the first value which public administration must ever be concerned to realize: the value of satisfactory service.

### Administration Must Be Politically Responsible

Before I express my views on this second point, let me acknowledge that the institutions of responsible government in our society are complicated. I believe the very structure of American government itself

has from time to time hampered a firm realization of the importance of political responsibility on the part of administrative officials. We lack in America any firm Constitutional principle corresponding to the doctrine of ministerial responsibility which is so cardinal an element of the British constitution. When civil service reform became a particularly crucial issue in the 1880's and in subsequent years, the primary emphasis was on the elimination of political abuses in the appointment, promotion, and retention of administrative officials. For a long time, as you have heard many persons say, the emphasis in public personnel improvement was essentially a negative one: to reduce and eventually to end spoils practices in government. Certainly the evils were widespread and the need for reform was great. Yet, in their eloquence many advocates of civil service reform forgot that the practice they attacked had been born from a legitimate political concern.

When Thomas Jefferson assumed office on March 4, 1801, he had reason to be alarmed about the loyalty of the then modest federal bureaucracy to the political policies and program for which as President under the Democratic Republican banner he stood. When Andrew Jackson was inaugurated on March 4, 1829, he had a similar concern. Indeed, whenever there has been a major transition in control of governmental machinery political leaders have properly worried about the political loyalty of employees who had served a previous administration. This worry was evident when Franklin Roosevelt became President on March 4, 1933. This concern was evident when Dwight Eisenhower took office on January 20, 1953.

I cannot resist expressing the opinion that the great bulk of administrative officials serving on a career basis in our government have long recognized the obligation to be politically loyal to the Administration in power. In the federal service, there were a number of civil servants who had risen to a high position under the Republicans from 1921 to 1933 who served equally well and loyally the Democratic administration after 1933. The same observation has been justified by the course

of events since 1953. With considerable cause for concern, I believe that on the one hand the restraint with which the Republican administration of 1953 approached the problem of political loyalty is commendable, and that on the other hand the loyalty manifested in a transitional period by high career officials in government is equally noteworthy. A major event in American history has occurred under our very eyes and has been too little understood or appreciated by the bulk of our political commentators and political leaders.

Nonetheless, it is important to note that the Hoover Commission in 1955 made the matter of political responsibility the very first item of recommendation in its report on government personnel and civil service. The Commission proposed that career administrators should not be appointed to positions where they had to appear in advocacy or defense of governmental policies and programs, and that career administrators should remain apart from direct participation in political controversies. The second recommendation of the Commission was that the President should designate governmental positions which should be placed in a noncareer category, and the Commission then suggested certain standards for this determination.

It seems to me that we may safely say today that there is now some common understanding and agreement about the essential mechanics of responsible administration in the organization of government services. In general, the heads of departments are appointed by the chief executive on a noncareer basis. These politically responsible officers may be surrounded by such staff of associates and assistants as may be required by the size and complexity of the administrative operation over which they assume direction. Below the noncareer element in our department and agency structure, however, we expect competent professional leadership on a career basis. This leadership, in turn, has an obligation to refrain from partisan political controversy while being entitled to the political protection of the noncareer group. The doctrine insofar as the chief

executive is concerned now seems clear. However, there is still much to be done in applying the doctrine to administrative structure and in making it workable.

At the same time let us not delude ourselves into believing that the problem of political responsibility in our public service has now been completely resolved. The doctrine which I have just outlined is adequate in suggesting desirable structure for administrative agencies in their relationship to the chief executive. But this alone is not enough—unless we are willing to believe that all administrative responsibility flows through the chief executive. I for one cannot accept this proposition. The chief executive is an important element in the structure of American government, but he is still only one element. The legislative branch is equally important.

In practice, and I believe in theory, the political responsibility of administrative officers extends not only to the chief executive, but also to the legislature. Here again, we may say that the politically appointed element in departmental and agency structure must now carry the burden of advocacy and defense in relation to the legislature. This is feasible but only within limits. Our legislative bodies expect to obtain detailed information about administrative operations from the career administrator and he must, in turn, be sensitive to that expectation. It is difficult to draw a hard and fast line in legislative relationships between providing information and appearing to defend or advocate particular policies and programs.

More than this, the career administrator who rises to a top position in the public service is expected to be an expert in his field of professional endeavor. As such, he has the obligation to express his opinion on matters of public policy and to advise not only his administrative superiors, but also his legislative superiors about desirable courses of action. The career official who refrains from expressing his considerable professional judgment about desirable public policy has not, in my opinion, fulfilled his obligation as a government servant. The fact that he has expressed his

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professional judgment to his administrative superiors appointed by the chief executive does not relieve him from the need or obligation to express the same judgment to legislative leaders or to interested groups concerned with public policy.

At the same time, there is a careful line to be drawn between political partisanship and professional judgment. This is not an easy line to draw, and I am sure we shall continue to have many difficult problems of adjustment in the years ahead. The career public servant must exercise restraint in the expression of his professional judgment so that he does not appear to be lending himself to the attack or the support of particular political personages. More than this, once decisions have been clearly made through political process and embodied in law by legal directive, then the career administrator has a responsibility to do his best to execute that policy energetically and faithfully.

Furthermore, the responsible administrator must at all times be sensitive to public opinion. This is no easy assignment. Long ago the political scientists learned that public opinion in a democracy is not some clearly defined, single voice. The political public is composed of many groups with many and often conflicting points of view. This is an essential element of American democracy. Yet, the multitude of voices which make up public opinion at the same time immensely complicate the life of public administrators.

The public servant must sift and sort from among the criticisms and proposals which come his way. It is inevitable that personal predilection and conviction should play their part in this process of evaluation. Yet the successful administrator is one who retains his commitment to moral principle while finding a sense of direction amid the conflicting demands of various groups. The development of professional codes of ethics has played an important part in strengthening the career administrator in this task. Moreover, although there are conflicts of interest in American social organization, there are also certain fundamental agreements—agreements about fair play, toleration, and

equality of opportunity to which the administrator can and must give his allegiance.

It would take a long discussion and many illustrations to give concrete meaning to this admonition of sensitivity to public opinion. I am convinced that the ability to fathom major currents and points of view in American public life does exist and can be used by the public administrator. This sensitivity is a major asset and an indispensable necessity.

The obligation of political responsibility is, then, another major value inherent in the public administration of our democracy.

### Government Must Be "Good"

The third value which should motivate public administration I will call the value of good government, although I am somewhat hesitant about using the expression. The essentials of good government have provided argument for political philosophers through at least 2,500 years of western history. It is easy to understand why an individual, especially one of a practical turn of mind, should throw up his hands in horror at the suggestion that he owes some obligation to a vague concept called good government. Yet this attitude, especially if it were to become widespread in the public service, could be fatal to a free society and to democratic government.

The American system of government consists of a certain working arrangement and certain fundamental practices. Between the two we have sought to realize the age-old dream of a free man in a free society. The servant of government in our time owes fundamental loyalty to these arrangements and these practices.

Insofar as working arrangements are concerned, the American system of government has two major characteristics. It is a system of limited power and a system of divided power. The power of government has been limited in two ways.

In the first place, substantial areas of social activity have remained outside the operation of government. By and large, our economic endeavor is performed through individual proprietorship, part-

nerships, and corporations which function without the prior approval or direction of government. To be sure, we live in an age of increasing social concern manifested through government to ensure that economic enterprise shall be conducted according to certain rules of conduct. It is easy to understand why the American businessman should often feel that these rules have now reached the point where they practically constitute management of an enterprise. Yet, essentially the economy of our society operates through private rather than public organization. The same is true for our religious organization and our labor organization. A substantial part of our system of higher education is operated under private, not governmental auspices. A considerable part of our social activity, moreover, is carried on through voluntary associations of many different kinds, embracing many different purposes from welfare and medical activity to fraternal and community endeavor. The fact that so large a part of our social activity operates beyond the direct control of government demonstrates how we have limited governmental power. Ours is not a monolithic society; hence, ours is not a monolithic government.

In the second place, governmental power has been limited further by certain constitutional restrictions. These limitations are usually referred to as our Bill of Rights and embrace such guarantees as the governmental promise of noninterference with speech, press, free assembly, and the promise that neither property nor the person shall be interfered with except through due process of law. These rights have been written into the Constitution of our federal government and into the Constitutions of all our state governments. Yet essentially the observance of these rights is an obligation of citizenship. Only loyalty to these great traditions on the part of all our citizenry can ensure their continued preservation. Obviously, this also includes loyalty on the part of all public servants.

Governmental power in our structure of government has also been divided in two ways. It has been divided by creating three branches for the exercise of govern-

mental power: Legislative, Executive, and Judiciary. Each branch is different from the other. Each exercises a portion of governmental power. Each operates both independently and cooperatively with the other. This separation of power was conceived by our forefathers as essential to prevent a collusion dangerous to men's liberty. Governmental power is further divided in our country through the structure of federalism, through the division of government power between a central government of enumerated authority, and 48 state governments of residual governmental power. This structure of federalism has been subjected to stress and strain, and often criticized for many weaknesses, such as arbitrary boundary lines, great disparities in population and resources, and certain competitive rivalries. Yet our state government is a vital element in our governmental structure. There is today a disposition to recognize that importance more clearly than may have been the case several years ago.

#### In Summary

These brief observations should be elementary for anyone interested in the operation of American government. It is well to remind ourselves of these fundamentals, however, from time to time. It is easy for the civil servant to become aware of the intricacies of federalism and to forget its basic worth in perpetuating a system of divided governmental power. It is easy for the civil servant to become acutely aware of the bickering which characterizes legislative-executive relationships and the consequent harassment of administrative operations which it entails. The civil servant is likely to forget the basic importance of the separation of power which makes this conflict a relatively minor irritation in terms of a larger good.

Moreover, it is important to remind ourselves of these fundamental characteristics of American government, of the freedom and variety which they have promoted, in a time when loyalty tends to be too narrowly defined. Certainly our system of government cannot tolerate in its administra-

tive operation the presence of communists, saboteurs, and traitors, and it is easy to understand why in certain sensitive positions of government the standard of acceptable behavior may be even more rigorous, embracing the concept of security risk. But the fundamental loyalty we must expect of civil servants and of all Americans is a positive rather than a negative virtue, a virtue which emphasizes attachment to the fundamentals of the American system of government and a willingness to battle on their behalf rather than a purely negative restraint from engaging in subversive conduct.

For Americans, good government means the working arrangements and the fundamental practices which I have outlined here. To the public servant, there is a continued obligation to uphold the values of

good government to the utmost of his ability and so help to protect a free society.

The public service, then, is necessarily dedicated to great ends. It is a truism to observe that government has become increasingly important in our every day lives as our economy and our society have become increasingly complex in structure and operation. Yet we still believe that governmental power can be harnessed within appropriate limitations and that when called into exercise governmental power can be used in the public interest rather than for the aggrandisement of a few. The public servant of whatever station must join with others in allegiance to these great purposes in order that "government of the people, by the people, for the people, shall not perish from the earth."

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### A Personnel Perspective

*(Continued from page 6)*

in the painstaking accumulation of knowledge of scientifically valid practices . . . the boldness to cut through outmoded procedures . . . the integrity to adhere to basic democratic principles. And all this must be coupled with a persuasiveness that gains support and understanding—which cannot be universal but can be general—

on the part of administrators, employees, and the general public. This is an endless, and to a large extent, even a thankless job for commissioners, executives, and technicians. But it is not discouraging when we look at the practical achievements over the years and the challenging opportunity ahead for major public service.

# Personnel Legislation in the 84th Congress

Harvey Dean Brown

THE RECORD of the 84th Congress in the field of personnel administration, though only half completed, shows considerable accomplishment. Significant improvements have been made in bringing governmental practices into line with progressive nongovernment practices in the areas of pay and compensation and other employee benefits and in clarifying and consolidating previous legislation. In addition, there are a number of major personnel management proposals which have been introduced but not acted upon.

## Pay and Compensation

The first session of the 84th Congress made an outstanding record in the area of pay and compensation. Increases were made in Judicial and Congressional salaries, in the classified pay rates, in the rates of basic compensation for postal field service employees, and in certain other pay rates.

**Salary Increases for Federal Employees (Public Law 94).**—The President in his message to Congress, January 11, recommended improvements in pay to bring governmental salaries more in line with prevailing nongovernment rates. During the ensuing months more than 35 bills were introduced on this subject with proposed rates of increase up to 12 percent.

As finally approved on June 28, Public Law 94 provided for an increase of approximately 7.5 percent in the basic rates of pay of over one million federal workers. It provided increases for employees paid under the provisions of the Classification Act, the Foreign Service Act, the pay scales of the Department of Medicine and Surgery of the Veterans Administration and for those whose salaries are fixed administratively on an annual basis.

This was the first time that pay increases

for these major groups were included in a single law. Consideration of the whole problem by a single Congressional Committee also assured equitable treatment for all groups with no discrimination. In each case the increases granted were consistent with the principles of the pay system affected.

The Act also provided for a much needed increase in the number of authorized GS-16, 17 and 18 positions and consolidated into a single law most of the independent authorities affecting such positions.

**Increase in Compensation for Postal Field Service (Public Law 68).**—On January 11 the President forwarded to Congress a special message concerning the rates of pay for the other large segment of federal employees—the more than one-half million postal employees. He recommended that postal employees be given an increase in their basic salaries and that the increase be accompanied by a reclassification plan which would place the compensation for postal field service positions in proper relationship to each other in order to eliminate inequities, offer incentive for advancement, and follow the principle of higher pay for more difficult and responsible work. Legislation was introduced and after extensive Committee hearings (15 in the House alone) a Bill, S.1, was passed. This Bill revised the existing salary schedules and provided for a 7 percent increase in basic salaries. The Bill was vetoed by the President on May 19, because it contained further inequities and created grave administrative problems. Congress then approved a bill meeting the President's requirements which was signed by the President on June 10.

Under Public Law 68, all postal employees received a minimum increase of 6 percent of their basic salaries retroactive to March 1, and within 180 days after enactment all postal field service positions

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were to be fitted into a salary schedule providing a more realistic relationship between the various positions—particularly with reference to their duties and responsibilities—and the salaries of the positions. This salary schedule became effective December 3 and will result in a further payroll increase of approximately 2 percent.

**Increase in Salary for Judges, Members of Congress, and U. S. Attorneys (Public Law 9).**—Public Law 220, 83rd Congress (1st Session) established a Commission on Judicial and Congressional Salaries to make an over-all study of the problem of Congressional and Judicial salaries. The Committee found that, generally, these salaries had not kept pace with the growth of the duties and responsibilities of these positions and that they tend to confine these important positions to persons of independent wealth or outside earnings. Although Congress approved lesser amounts than the Commission recommended, the increases in Congressional and Judicial salaries ranged from 16.6 percent to 80 percent.

The following table sets forth a comparison between the previous salaries and those provided by the Act:

**An Act to Amend Part I of Veterans Regulations Numbered 1(a) (Public Law 239).**—Under the Economy Act of 1932 no person holding a government position may receive pay as a retired commissioned officer in excess of an amount which when combined with the annual rate of compensation for the civilian position makes the total rate from both sources more than \$3,000. Under the 1932 Act exceptions to this provision were granted to officers retired for disability incurred in combat or during war service in World War I or II but not the Korean period of service from June 27, 1950, through January 31, 1955.

Public Law 239 provides coverage for this Korean period, and for an increase in the ceiling on dual payments from \$3,000 to \$10,000.

### Employee Benefits

For years government employees have had to defray part or all of certain expenses related to performance of official duties from their personal funds. The 84th Congress made improvements in this area and clarified certain employee benefits provided by the 83rd Congress.

**Increase in Allowance for Travel Expenses (Public Law 189).**—The Executive Branch

	<i>Previous Salaries</i>	<i>Provisions of P.L. 9</i>
Chief Justice of United States	\$25,500	\$35,500
Associate Justices of Supreme Court	25,000	35,000
Vice President of the United States	30,000	35,000
Speaker of House of Representatives	30,000	35,000
Members of Congress	12,500	22,500
Court of Appeals	17,500	25,500
District Court	15,000	22,500
Chief Judge, District of Columbia	15,500	23,000
Court of Claims	17,500	25,500
Customs and Patent Appeals	17,500	25,500
Customs Courts	15,000	22,500
Alaska District Court	15,500	22,500
Tax Court	15,000	22,500
Military Appeals	17,500	25,500
U. S. Attorneys	a	12,000 to 20,000
Assistant and Special Attorneys	a	up to 15,000
Deputy Attorney General	17,500	21,000
Solicitor General	17,500	20,500
Assistant Attorney General	15,000	20,000

<sup>a</sup> Previously fixed by Attorney General without specific limitations.

proposed and the Congress enacted legislation which amends the Travel Expenses Act of 1949 by raising the maximum per diem allowance for subsistence and travel expenses for regular government employees from \$9.00 per day to \$12.00 per day and which authorizes payment of travel expenses of civilians performing work for the government without compensation on same basis as for regular employees. The Act also increased the mileage allowance for privately-owned motorcycles from 4 cents to 6 cents, and for privately-owned automobiles from 7 cents to 10 cents, when engaged on official business. It authorizes reimbursement of travel expenses up to \$25.00 where in unusual cases the maximum per diem would not meet expenses and brings under Travel Expense Act the travel rates of civilian employees when travelling as witnesses on behalf of the government. Finally, the Act amended the Administrative Expenses Act of 1946 by increasing the maximum per diem allowance from \$10 to \$15 for WOC employees.

**Purchase of Surety Bonds (Public Law 323).**—Requires the heads of agencies to purchase bonds for persons required by law or regulation to be bonded, thus bringing the federal government into line with modern personnel management practices in private industry and local government. In 1954, the Internal Revenue Service was authorized by Congress to purchase bonds for its employees required to be bonded. Under the new legislation, all the heads of Executive establishments are required to, and officials of the Legislative and Judicial branches may, obtain surety bonds with government funds for their civilian and military personnel required to be bonded. Previously such employees in the Executive Branch had to pay the bond premiums themselves.

**Amendment to Federal Employees' Uniform Allowances Act (Public Law 37).**—Makes technical correction in Federal Employees' Uniform Allowances Act of 1954 by eliminating the provision that employees who are required by agency regulation to wear uniforms are eligible to have uniforms furnished or to receive uniform allowances under the Act *only* if such regulations were

in effect on September 1, 1954. Since certain personnel of some agencies wear uniforms as a matter of custom rather than regulation, the elimination of this requirement will mean that these employees will be eligible for allowance benefits any time their agencies issue regulations requiring the use of uniforms.

**Liberalization of Group Life Insurance (Public Law 356).**—Corrects certain inequities in the Federal Employees' Life Insurance Act of 1954.

When Congress passed the 1954 Act it recognized that the new program would seriously, if not fatally, affect the continued existence of employee beneficial associations providing group life insurance for members. Accordingly, provision was made in the Insurance Act for continuing the insurance of association members retired or otherwise separated from the service so long as they paid premiums and the association transferred to the government its total insurance fund assets or an amount equal to the insurance liability assumed by the Government Insurance Fund. The courts, however, had ruled that such transfers had to be unanimously agreed to by all members. This presented an insurmountable obstacle to most large associations. To correct this situation the new law authorizes the assumption of existing insurance for active members as well as those retired and separated. Such assumption through life insurance policies purchased by the Civil Service Commission would be effected as the particular association transfers to the Commission the lesser of (1) its total insurance assets or (2) the sum actually determined necessary to cover the members involved. The 1954 Act is also modified to permit inclusion of honorable military service as part of the requirement of 15 years' service for retention of insurance upon retirement.

#### Retirement

**Increase Annuities of Retired Employees (Public Law 369).**—Amends Civil Service Retirement Act to provide increases in the annuities received by retired federal employees and survivor annuitants. The legislation provides a percentage-increase for

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mula which favors the low annuity individual. Any annuitant who received as much as \$4104 a year in regular annuity did not benefit from the bill.

**To Lower Retirement Age Requirements for Employees of Former Lighthouse Service (Public Law 87).**—Three hundred and sixty civilian employees of the Coast Guard who were also in the former Lighthouse Service now may, at their option, retire at the age of 60 if they have 30 years' service and at 62 if they have 25 years' service. This brings the voluntary retirement ages more nearly in line with similar provisions in the Civil Service Retirement Act.

**Authorizes Additional Retirement Credit for Employees of District of Columbia School Lunchrooms (Public Law 249).**—Revises Section 3 of the District of Columbia Public School Food Services Act of 1951 which provided that any employee who, prior to 1951, was employed in a school cafeteria or lunchroom (then operated by principals of respective schools) could have their prior services treated as government service for the purpose of the Civil Service Retirement Act. Deposits to retirement fund would have to be made for such service.

### Appointments

**Granting Career-Conditional and Career Appointments to Additional Qualified Employees (Public Law 380).**—Under the career-conditional appointment procedure put in effect by the Civil Service Commission in January, 1955, certain indefinite employees were not eligible for conversion because they had not actually been selected from registers. This group includes employees who competed successfully in regular civil service examinations but were not appointed from a register of eligibles because they were already in the federal service under some other type of appointment. The new law corrects this inequity and provides for conversion to a career-conditional appointment or career appointment of some 40,000 indefinite employees meeting certain conditions.

### Loyalty

**Prohibition on Employment of Persons Disloyal to or Who Strike Against the Government (Public Law 330).**—This legislation clarifies and consolidates in a single, permanent, penal statute the rider enacted each year in appropriation acts, and repeals and supersedes several other statutory provisions which partially cover the same subject. It prohibits the employment by the government of (1) any person who advocates the overthrow of our constitutional form of government or belongs to an organization that so advocates, and (2) any person who strikes against the government or belongs to an organization of government employees that asserts the right to strike against the government.

### Restoration Rights

**Armed Forces Reserve Act of 1955 (Public Law 305).**—Although this Act deals primarily with the development of a Reserve Program for the Armed Forces it is of interest from a personnel management point of view because it extends reemployment rights to those young men below the age of 18½ who join the reserve and who take the prescribed six months of active duty training.

### Other Legislation

**Improvement of Foreign Service (Public Law 22).**—Passage of legislation proposed by the Executive Branch enabled the Department of State to move forward vigorously with implementation of the principal recommendation of the Secretary of State's Public Committee on Personnel, namely, expansion of the Foreign Service Officer Corps by integration of departmental personnel holding positions which require overseas experience.

Provision was made to permit appointments to FSO classes above the minimum rate of departmental personnel, thereby allowing them to maintain their achieved salary levels.

The law also makes the Corps more attractive as a career by liberalizing certain benefits such as providing for payment of hardship differentials to Foreign Service and Foreign Service Reserve Officers not previously eligible therefor, and by providing educational allowances benefits for dependents.

**Invalidation of Maximum Age Requirements (Public Law 112).**—The Independent Offices Appropriation Act contained a provision which prevents the payment of compensation of employees who allocate positions in the classified civil service with a requirement of maximum age. The governing considerations for employment to such positions are (1) ability and (2) qualifications.

**Prohibits Removal of Railroad Retirement Board Positions from the Competitive Civil Service (Public Law 383).**—Although the principal purpose of this Act was to amend the Railroad Retirement Act to raise the maximum amount of a spouse's benefits and to remove certain dual benefit restrictions in survivor annuity cases it contained a section which requires that all positions in the Railroad Retirement Board be under the competitive civil service. The amendment would, further, prohibit the removal or the exception from the classified civil service of any position such as by transfer to Schedule A, B, or C. It is interesting to note that the U.S. Civil Service Commission disapproved of this latter proposal. Similarly, five members of the Committee on Labor and Public Welfare strongly opposed the personnel provisions which they believed "will tend to disrupt the merit system by establishing the unde-

sirable precedent of legislating personnel policies for each Federal agency separately."<sup>1</sup>

**Dual Employment of Custodial Employees (Public Law 286).**—Permits part-time GSA custodial employees to work for the Post Office Department.

Before the transfer to GSA of buildings in which Post Office occupied less than 50 percent of space, part-time custodial employees could be employed in a dual capacity (as cleaners and mail handlers) and paid in both positions. Since the transfer this arrangement has not been possible. This Act will permit the Post Office to utilize the services of these employees.

#### In Summary

The information presented above is an attempt to summarize the action taken by the first Session of the 84th Congress on legislation in the field of personnel management. Many details on the implementation and administration of the Acts were necessarily omitted because of space limitations. However, it is hoped that this summary will be useful as a reference guide and that those personnel administrators and students interested in further information will refer to the basic Act.

<sup>1</sup> Senate Report No. 1040, Page 15.

## Improving Classification and Pay Program

*(Continued from page 21)*

It becomes complex in practice because of the variety of work and work situations and interrelated factors in the economic-labor field that influence pay rates. However, the problems encountered do not stem from these complexities. They stem from failure to understand and adhere to the fundamental principles. Simplification or improvements in the present system will

not come from pat formulae or mechanical devices; from patchwork remedies such as the recent amendment permitting recruitment at higher than minimum rates; from reduction in number of grades, or from extension of wage board procedures *per se*. Improvements must come from a re-analysis of the total program in terms of principles and objectives.

**personnel****opinions**

- What is the thinking of experienced personnel people on everyday problems of personnel policy and practice? Their views can often provide readers of *Public Personnel Review* with cues to sound, constructive policy-making.

The editors posed the same question to four persons experienced in administration and asked them to comment on the various points it raises. Here's what they say.

**The Question . . .**

*If a public employee receives additional off-the-job training in his professional or technical specialty, to what extent, if any, should this training be formally recognized in terms of a within-grade pay increase?*

**The Replies . . .**

ACHILLE R. ALBOUZE, Personnel Officer, California State Department of Social Welfare, Sacramento, California.

Before an answer can be given to the question, we should first establish what the objectives are of within-grade pay increases for employees. Generally, within-grade increases are given (a) to provide an incentive for employees to continue working within the class, and (b) to recognize (monetarily) the increased value to the organization of the employee's greater experience, skill, and ability to perform his job because of continued service on the job.

In this discussion, it is presumed the employee will receive within-grade salary increases as long as the quality of his service meets the standard of performance required by the agency. Unfortunately, it is too often the practice of many public service agencies to grant within-grade pay increases solely on the basis that the employee has worked a specified length of time (usually one year) without regard to the quality of performance or meeting prescribed performance standards.

The argument is often advanced that unless

some "pay off value" for off-the-job training is apparent to the employee, he will not be disposed to seek additional training. The merit of this argument is highly significant in fields of employment where the out-of-pocket cost for training paid by the employee is far greater or out of proportion to the amount of anticipated increased earnings he might reasonably expect after the training is completed.

For fields of employment which appear to pay adequate salaries in relation to the education and/or experience required for the job, I do not believe there can be valid justification in giving within-grade salary advancements for off-the-job training.

My reasons for opposing the recognition of off-the-job training by means of within-grade pay increases are briefly summarized as follows:

1. It violates the principle of equal pay for equal work.
2. It violates the principle of giving within-grade increases primarily on the quality of actual job performance instead of on the basis of how well the employee might, or could, do his job.
3. It can lead to giving undeserved and preferential treatment to employees.
4. Within-grade pay adjustments should be based on the quality of job performance irrespective of whether this is because of the superior native ability of the employee or because of special training.
5. The primary objective of any form of training should be to improve the employee's ability. Why should it be necessary to make a money label an irrevocable reward for off-the-job training?
6. Such a policy would create many administrative difficulties. How would a plan be administered? What safeguards could be established against giving pay increases without reference to whether the training proved beneficial? How would the effectiveness of the employee's training be evaluated by the operating agency? Certainly, few would advocate paying all personnel simply on the basis they had completed training off the job.

Frequently, civil service agencies are requested to give "preferential points" in recognition of the completion of certain specified courses of training. As meritorious as this may

seem to the proponents of the idea, the questions may be asked: For what reason are we giving training? Must there always be a monetary advantage for employees who took the training as opposed to those who did not take the training? If we admit that the real purpose of training is to improve the employee's skill, knowledge, or ability, then is there a good reason to reward training by any other means than through recognition of improved or superior job performance? If employees are to be paid on the basis of the quantity and/or quality of job performance, then let us recognize this as the essential point rather than advocate a program which gives monetary recognition solely because an employee has completed a course of training.

Are there any other factors which must be considered before we apply the money label to training? For example, an employee may take off-the-job training as one means of helping him retain his present job for which he believes he needs more training before reaching the performance standard expected in his job. In this case, would we be justified in giving the employee a within-grade pay increase simply because he had completed off-the-job training in order to raise below-par performance up to what was expected? The answer appears obvious. Let us look at the case of the employee of superior ability who performs his job exceedingly well. Under the premise of this question, this employee would not be given a within-grade pay increase (other than pay increments based on time) because he had not taken off-the-job training. The conclusions which can be drawn from these two cases bring into sharp focus the pitfalls which are presented by a categorical endorsement of a policy which would give special within-grade pay increases for persons merely because they had completed off-the-job training.

A very plausible argument is often advanced to recognize off-the-job training by preferential treatment in pay for those fields of employment in which the pay scales are considered low. The field of social welfare is an excellent example because it is common knowledge that social worker salaries are considerably less than the salaries paid for other professions such as school teaching, yet both professions require approximately the same amount of professional training. The proper approach to solving the problem of low pay rates does not appear to lie in the practice of giving within-grade salary increases simply because additional training has been completed.

The field of teaching offers a nation-wide

example of recognition of off-the-job training through higher pay ranges for those who have completed a certain amount of training, usually at the graduate level. Despite the fact that space does not permit discussing the merits or demerits of this practice, the existence of the practice and its prevalence should be mentioned in order to keep this discussion in proper perspective. In discussions with other personnel administrators and members of civil service commissions, I have found few, if any, among them who are willing to justify the practice in the light of commonly accepted principles which should govern compensation of employees in the public service.

The field of banking has had a very well organized and highly effective off-the-job training program for a period of many years. This educational program of the American Institute of Banking is operated on a national scale. It is true that every incentive is given by management to have its employees participate in the off-the-job training provided by the AIB. As far as I have been able to determine, within-grade salary adjustments in the banking field are not given on the basis of completion of the off-the-job training. Encouragement to participate in these courses is reflected somewhat by the policy of refunding tuition to the employee who has satisfactorily completed a given course of training.

A question might well be raised that, if with in-grade pay increases should not be made to recognize off-the-job training, what would be the incentive for the employee to incur the expense of, and to give his time for, the training? In answer to the question, I believe that a very significant amount of off-the-job training redounds to the benefit of the employee by enhancing his promotional opportunities. "To prepare for the job ahead" has been a motivating slogan for many years for employee training programs.

In opposing the practice of giving within-grade salary adjustments to public service employees for off-the-job training in their professional and technical specialty, the writer is fully aware that this is a commonly accepted practice in the teaching and medical professions. From a sound personnel management point of view, the practice appears to be unjustified.

**FREDERICK C. MOSHER**, Professor of Public Administration, Maxwell Graduate School of Citizenship and Public Affairs, Syracuse University.

Several centuries ago, a man known as Lemuel Gulliver marvelled at the educational

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techniques employed by the Grand Academy at a city called Lagado. Among these was one used in the mathematical school. The students were called upon to swallow a wafer whereon was written the proposition to be memorized in a special kind of ink. A period of fasting was required during which the wafer was digested and the ink, bearing the proposition, was conveyed to the brain. Mr. Gulliver found the practice to be without success, partly because of the perversity of the students who did not particularly care for the diet.

It is debatable whether the pedagogical experiment of the Lagado Academy is immediately relevant to the question in the current quiz, but it is at least suggestive. There is here an assumption that the consumption of a given course of instruction will, through some digestive process, result in the acquisition of skill or knowledge or wisdom. There is the further assumption that such an acquisition will contribute to one's ability to do his job. Most of us would agree that both premises are true in the main and in the long run. Whether they are necessarily true in individual cases and with respect to specific courses of instruction is doubtful. That they be assumed to be *automatically* true seems more than doubtful. Those of us who have taken courses—and this is just about all of us—may question whether *some* of our courses directly contributed to job performance, even those specifically designed for that purpose. In fact, some of the best courses may have their impact, not now in the present job, but ten years from now in a far different job.

It is true that within-grade increases have not customarily been administered in this country as rewards for demonstrated merit or fitness on the job. For the most part, they have been automatic with the passage of time—a recognition of service and of longevity. Distinguished or extraordinary contributions on a job are coming more frequently to be rewarded by within-grade increases. Both such bases for increases provide sounder rationales than certificates of course credit-hours. Rather few academic courses are, or should be, directed to the performance of specific duties. Where they are they, or at least the knowledges they aspire to produce, should be requisite to the assumption of full job responsibilities, not as a reward after responsibilities have been assumed.

It is not here proposed that training and education among civil servants should be discouraged. On the contrary they are desirable both to improve performance on a given job and, more importantly, to prepare for succeed-

ing and more responsible jobs. The contention is only that there should not be an automatic relationship between academic credit and pay on the job. Advancement should be measured on the basis of merit and demonstrated potential in a job situation—not on the basis of course hours and certificates.

If the problem is one of motivations among public servants to seek off-the-job training, a variety of other devices are available and more suitable. Preparation for promotion is one. Others include educational leave, scholarships, and tuition payments by the agency. A whole gamut of non-pay incentives could be explored on this point. In the long run, these should be both more fruitful and less expensive.

The assurance that satisfactory completion of a course will result in a salary increase may have a deleterious effect both upon the attitude of the student-employee and upon the teaching institution. The pressure for lowering educational standards may well exceed that of rising matriculation. Many that have observed this practice among public school teachers, where it is now widely pursued, have noted such effects—although there is probably more justification for it in the education field than among the public service generally.

The taking of a course in no way guarantees insight or wisdom into a subject matter, nor any ability to demonstrate it in the performance of duties on a job—no more than the eating of a cracker with ink on it.

**PHYLLIS OSBORN**, Associate Professor, School of Social Service Administration, The University of Chicago.

Rather than discussing the question posed in general terms, I shall use as a framework for my comments the situation existing today in the public assistance programs of our state welfare departments.

During the twenty years since the passage of the Social Security Act, state and federal agencies, schools of social work, the American Public Welfare Association, and other membership organizations of social workers, as well as many interested and informed lay persons have stressed the need for qualified personnel to administer the basic public assistance services. Public assistance workers, who serve five million recipients in every county in the United States, inevitably are faced in their practice with practically every type of problem known to any social agency. As the insurances increasingly assume responsibility for income maintenance for large segments of the population, an increasing percentage of the

residual group still receiving public assistance are individuals who are struggling with serious social problems in addition to financial need. Old age, blindness, disability, mental or physical incapacity, homes broken by divorce or desertion, illegitimate parenthood—all result inevitably in demonstrated need for skilled casework treatment.

There is not complete agreement regarding the exact extent to which such treatment can, and should be, offered through local units of state welfare departments. However, it is a recognized fact that public assistance agencies, on a nationwide basis, are unable to fill existing vacancies and have, in many instances, lowered established minimum requirements, in order to recruit sufficient staff to be able to carry on, even with a most inadequate program.

Much has been accomplished in increasing staff competence through intensive staff development programs, which include teaching through supervision. But here again efforts are limited by shortages in professionally trained staff capable of discharging these training and supervisory responsibilities effectively.

In-service training and professional education can never be considered as substitutes one, for the other, in providing the knowledge and skills necessary for our local assistance agencies to offer the family casework services that could and should be available in every county. The body of professional knowledge available in the field of social work practice has increased appreciably in the last twenty years, but progress in bringing this knowledge to the staff of public assistance agencies through "off the job training" has not been substantial as related to the seriousness of the need and the training facilities available.

The merit system requirements of the Federal Social Security Act have, in many respects, increased the integrity and the effectiveness of state programs. However, in my opinion, the insistence of merit system specialists and technicians that basic merit system principles would be violated by a recognition of the value of off-the-job professional training through in-grade promotions has had a deterrent effect upon the development of effective administration. Under pressure, refuge has sometimes been taken in unenthusiastic admission that such action might be tolerated could it be objectively determined that individuals with such training have demonstrated a marked superiority in terms of quantity and quality of services rendered. However, personnel specialists usually have been loathe to accept criteria proposed as a basis for classifica-

tion and often have seen no possibility for the proposed salary increases prior to demonstration of increased competence. The problem is of course complicated by the fact that increased professional knowledge and competence do not always result in greater speed in performance and thus in increased quantity of production. In fact the reverse may quite often be true, as the worker sees increasingly, in the light of increased understanding, the ramifications and the implications of the assigned task. Measuring the intangibles related to quality is always difficult and personnel consultants have not been too helpful in giving assistance in this area.

Salaries in public assistance agencies have generally been notoriously low, as compared with those offered by other social agencies and by other competitive fields. Professional education is expensive in time, in effort, and in money. Agency stipends for educational leave have been limited both in numbers and in adequacy to meet the expenses involved. A very substantial proportion of the group concerned have family responsibilities and these, coupled with low salaries, make further education seem impractical, especially if there seems little likelihood of an in-grade or promotional pay increase immediately following the sacrifices necessary to procure such education. Some, it is true, will undertake such education purely for its intrinsic value, but even this value is lessened if the training is not recognized in the compensation plan as warranting within-grade pay increases. Persons with few and minimal qualifications are seen to be paid equally as poorly or equally as well as persons with one or perhaps even two years of graduate professional education, and seemingly little effort is made to assess or reward differences in performance, even after the fact. Continued advancement to any position in the agency often appears to be based largely on length of tenure, with almost no weighting given to educational attainments and little objective evaluation of relative quality of performance.

Certainly the smattering of isolated courses in a school of social work which have sometimes been a prerequisite to promotion to a higher classification have little to recommend them. Even well structured professional education does not insure competence. It will not make a successful physician or a successful social worker, but it helps, granted that the basic ingredients are available. That there should be little or no recognition of this fact in within-grade salary increases seems most unfortunate.

Closely related to the question of pay increases for off-the-job training for persons already agency employees is the problem of the professionally trained worker wishing to enter the field. Schools of social work are finding increasingly that there appears to be no place in the public assistance program for the young enthusiastic graduate with no agency experience. Occasionally, such a student is most anxious for a public assistance placement. It is virtually impossible to find a placement where he will be employed at a salary in any way comparable to that which he could obtain elsewhere, or in excess of that paid beginning workers in public assistance who may not possess even an A.B. degree. Because of the feeling of such students that their education and hence their possible contribution is not valued, and that they would not in public assistance, in many instances, have an opportunity to test and further develop their professional competence through work in a climate and under the direction of a skilled person who is a professional social worker, few of them are entering the program upon leaving graduate school. Once they have gone elsewhere, the chances of future employment in this field are greatly diminished. Thus, the numbers of professionally trained staff from which agencies may promote to supervisory and administrative jobs is greatly lessened; in-service training programs suffer; and the clients whom the agencies exist to serve are not receiving the best that could be available in the way of help they need. In the last analysis, the community is also a loser in such a situation since it suffers from the results of family and individual breakdown which might have been prevented or alleviated had there

been an adequate number of competent professional social workers.

The causative factors involved in the serious shortage of professional social workers present a constellation of circumstances far too complex to be commented upon in entirety within the limitations of this column. It would be exceedingly myopic and unfair to hold the general failure to recognize off-the-job training in terms of within-grade pay increases as entirely or even primarily responsible, but it must undoubtedly bear a significant share of the blame.

**ROBERT P. WRAY**, Deputy Secretary, Pennsylvania Department of Public Assistance, Harrisburg.

Within-grade pay increases should be based on job competence. In many positions such competence is increased by off-the-job training in a professional or technical specialty. But such training in itself does not insure job competence. Moreover, there are individuals who through normal supervision, in-service training, and informal study improve their job competence as much as other employees who secure off-the-job training. The betting odds are in favor of the advantages of off-the-job professional training and hence employees who secure such training are more likely than others to be eligible for within-grade pay increases as well as for promotion. In fact, it is the path of promotion that is the real opportunity for employees who acquire the qualifying skills.

In over-all fairness, therefore, I conclude that additional off-the-job training in a professional or technical specialty should not *in itself* result in within-grade pay increases.

## the bookshelf

**Labor Disputes and Their Settlement.** Kurt Braun.  
Johns Hopkins Press, 1955. 343 pp. \$6.00.

In the preface to this book the author refers to his earlier study entitled *The Settlement of Industrial Disputes*. Mild criticism was directed at the earlier study for overattention to German experience. The new text has been studied with care, and it is believed that the German-educated author has shown a better balance in the use of available source material and experience.

The author considers first the nature and origin of labor disputes. Disputes bring into action a chain of processes aimed to afford quick, judicious settlement of the issues. These processes, following collective bargaining by direct negotiation, lead to mediation, conciliation, and sometimes to arbitration, particularly in the federal systems. The attitude toward labor courts in America is discussed, and a carefully prepared review of such courts in Germany is contained in the last chapters of the book.

The author early in his first chapter gives attention to the concentration of economic power, and the recognition by governments of their duty to establish standards for labor and a duty to safeguard a maximum of individual liberty for everyone. Although the author has been very active in America during labor's greatest period of development, one wonders if in discussing political action he is thinking so much of America as he is of Europe where "a union is a part of a working class movement." (See the quotation on page 22 of the book.)

In the second chapter a clear distinction is made between labor disputes involving interests and those involving rights. The latter are usually individual controversies; the former are collective disputes. Because there has been discouragement of the strike, particularly during the life of contracts by both labor and management, the author seems to feel that equality of power is developing in America,

hence desire for industrial peace. The strike is the ultimate weapon in the hands of labor, so there will continue to be occurrences of its use. Anti-strike laws will not solve the problem. Improvements can be effected by greater use of mediation and conciliation. The government should interfere only to the extent necessary to protect the public interest.

Chapter III deals with mediation and conciliation. The author uses the titles interchangeably. Because of the writer's wide experience in the use of these processes, one looks with some disappointment to the lack of numerous references to actual incidents. The author's comment on the use of fact finding as an adjunct or follow-up to mediation processes is summarized in the words of a United States Senate Committee on Labor and Public Welfare, to the effect that except in dire emergencies, the establishment of fact-finding boards causes dubious results. (See page 82 of text.)

Chapters IV and V, covering federal mediation and mediation at the state levels, are condensed reference material in the language of an experienced operator, but they are not devoid of the techniques of a school text writer. These chapters constitute an historical review of mediation in the United States at the federal and state levels, and here we find enough citations and forms to add value to the text.

With chapter VI and continuing through chapters VII and VIII, the author takes up the much disputed matter of the uses of arbitration as a method of settling labor disputes. "Arbitration and conciliation have one basic feature in common: both are performed by outsiders to the dispute." But in its true meaning arbitration is enforced settlement whereas conciliation leads to recommendations based upon intimate studies of the factors involved in the dispute. One leads to compulsion; the other is an appeal to common sense. Compulsory arbitration tends to preclude the right of industrial warfare. It lends the ele-

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ment of speed to the settlement of disputes. But it is undemocratic; it results in forcing a worker to work against his will. It is an enforceable decision by outsiders.

There have been shown in the preceding chapters the manifold methods of settling labor disputes that have been developed through collective bargaining and legislation. Now, in the last three chapters, the author covers the use of labor courts. He says, "Even when disputes are determined by private or public agencies, the decisions usually are not self-enforcing." In such situations court action can be taken. A labor court is a special court of justice with jurisdiction in labor disputes. The idea of special courts for labor problems has not grown in America. Accordingly, it becomes necessary for the author to give special attention to the labor courts of Germany in chapter X, and to finish his text in chapter XI with a mild recommendation that the use of such courts in the United States be fully and continuously explored. The author's manner of presentation has caused this reviewer to refer to the work as a text; this entitlement seems to be appropriate—A. E. GAREY, *Civil Service Counsel, American Federation of State, County, and Municipal Employees.*

**Management Training, Cases and Principles.** William J. McLarney. Richard D. Irwin Inc., Homewood, Illinois, 1955. 391 pp. \$5.50.

This book is designed for the training of first-line supervisors and middle-management men by means of the conference case-study method. Originally prepared for industrial settings, the volume has been revised for use in offices, banks, hospitals, stores, government agencies, and military installations. The materials in the book are divided into four parts—The Management Team, Job Management, Developing the Work Team, and Maintaining the Work Team. There are eighteen chapters in the book and each chapter includes from thirteen to twenty-three cases and a discussion of principles pertinent to the cases.

Part I emphasizes the managerial aspects of supervisory positions, discusses the organization as a whole, and analyzes the place of the first-line supervisor in the total structure. This part provides practical guides to the supervisor who is interested in training himself for more effective performance. The supervisor must recognize that the job of management is to get things done through other people. This requires skill in combining materials, money, machines, and the efforts of human beings.

The most important and difficult skill to acquire is that of effective human relations.

The supervisor should understand the organization as a whole and should know how his unit fits into the total structure. He should develop skills in using the tools of management: planning, organizing, directing, coordinating, and controlling. He should recognize that policies and procedures are rules of conduct designed to achieve concerted effort in accomplishing the objectives of the enterprise.

One of the key skills of the effective supervisor lies in face-to-face communication. He must learn not only how to get his ideas across effectively but also how to listen to others. This listening skill means perceiving what has been said and also what lies behind the other person's words—his feelings, attitudes, and biases. The supervisor must recognize that he has to earn a place for himself on the management team, as well as serve as captain of his own team.

Part II discusses departmental planning, methods improvement, standards of work performance, and evaluating employees. It is axiomatic that the supervisor is held responsible for the efficient operation of his unit. To accomplish this, the supervisor must know the skills and capacities of his workers, their strong and weak points, the jobs they can do well, and the jobs they do poorly. He must be able to set up in advance what, how, when, and where things are to be done, and who is to do them.

In the chapter on "Methods Improvement," the line supervisor will find valuable suggestions for discovering better ways of performing the technical side of his job. Instead of relying entirely on the industrial engineering department for methods improvement, this chapter points out how the line supervisor can do much of his own analysis.

Perennial questions the typical employee asks are "Where do I stand?" "How do I rate?" He wants to know what his chances are of getting ahead, of getting a raise, and of being retained in case of lay-off. It is the responsibility of the supervisor to provide answers to these questions. He has to know who is to be rewarded for outstanding performance, who should be promoted, who should be trained for more responsible jobs, who needs more training, who is not suited to the job, and who should be transferred. To accomplish this, the supervisor must have in mind realistic standards of work performance against which to measure the quantity and quality of productivity.

In evaluating an employee's performance,

the supervisor should play a creative role. Performance evaluation is looked upon by many supervisors as an unpleasant task to be finished as quickly as possible. The system is usually set up by the personnel department, but whether or not the system works depends on the supervisor. It will not work if the supervisor devotes fifteen minutes to it every six months or every year, if he makes snap judgments, and if he resorts to check marks on a list of items, just to get the report in on time.

A valuable part of employer evaluation is bringing to light the employee's strong points as well as his weak points. The supervisor should let each worker know what these points are and should try to help the worker overcome his weak points. The evaluation interview will give the supervisor an opportunity to learn more about the employee's attitudes. A man's production may be low, not because of lack of training, but because of negative feelings he has accumulated. If the supervisor creates a permissive atmosphere during the evaluation interview, the employee may ventilate these negative feelings and in so doing change his attitudes.

Part III, "Developing the Work Team," contains chapters on human relations, fitting men and jobs, induction and training, and transfers and promotions. No matter how competent the supervisor is in the technical aspects of his job, his success or failure will depend ultimately on his skills in human relationships. He must understand the nature of the informal social organization operating within the enterprise and the compelling force this has on the behavior of the employees in the work plant. He must also have insight and understanding of the needs and desires of his work force as individuals. The basic needs of men on the job are for recognition, security, freedom from arbitrary action, opportunity for advancement, a meaningful task, congenial associates, satisfactory working conditions, fair wages, a voice in decisions affecting them, and competent leadership. By assisting the employee in finding satisfactions for his basic needs on the job, the supervisor can do much to achieve "good" human relations in his section. "Good" human relations exist when employees voluntarily contribute *a little extra*, when workers get along well with the supervisor and with one another, and when employees like working for and with the supervisor.

Although the personnel department can provide valuable assistance in the recruiting, selection, and testing of applicants for jobs, it is the line supervisor who makes the final selection. The supervisor must know the job demands

and the qualifications of the applicant. He must develop skills in interviewing to discover what the applicant expects from his job, whether the applicant will fit into the work group, and whether he can meet the demands of the job. It is the supervisor who has to live with the mistakes that are made.

It is the responsibility of the supervisor to see that the new worker is properly inducted into his new work group and that he receives adequate training on the job. However, the supervisor is not always the best person to do the training. In most cases he lacks the time and patience to do the teaching. It is difficult, also, to reduce the status barrier between superior and subordinate to the point where the learner can relax. In the presence of the boss, learners are often tense, afraid to make mistakes, afraid to be informal, afraid they are being judged, and afraid to ask questions. With a little coaching in methods of teaching, old hands in the department sometimes make good trainers.

The supervisor's responsibility for maintaining the work team is described in Part IV under the topics of leadership, discipline, tardiness, absenteeism, gripes and grievances, and morale. Successful supervisory leadership involves making "good" decisions, motivating workers to get things done, controlling the situation, voluntarily accepting additional responsibility, being honest in all dealings, and inspiring confidence. Although the supervisor has to deal firmly and fairly with quarreling, tardiness, absenteeism, and loafing, these problems tend to disappear with the development of high morale in the group. Morale is defined as an attitude which leads people to work together as a team to achieve a goal with a minimum amount of friction. Members of a work team will develop high morale if they feel they are performing an essential role on the team, if they know they can get help from others, and if they are accepted by their group.

This book sets a high level of performance for the first-line supervisor. It is strong on what the supervisor should do, ought to do, and needs to do. It implies that supervisors are "rational" men, while employees are made of "weaker" stuff. The book would be improved by the addition of some information on how the supervisor might deal with irrational behavior—the unconscious fears, insecurities, anxieties, and stresses—in himself as well as in other people with whom he works. The numerous case materials offer provocative and stimulating substance for a training course for first-line supervisors.—E. GRANT YOUNANS, *National Institute of Mental Health, U.S. Dept. of Health, Education, and Welfare*.

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**Organization and Management: Theory and Practice.**  
Catheryn Seckler-Hudson. The American University Press, 1955. 324 pp. \$5.00.

The effort to formulate "scientific principles" of management is essentially a twentieth century phenomenon.<sup>1</sup> To be sure, there are evidences of concern with problems of administration even among the ancients Greeks, and, indeed, among the Chinese before them, but the attempt to present a systematic "philosophy" or "theory" of administration belongs for the most part to the present day. It is one of the products of our modern industrial society.

The most recent effort of this kind is *Organization and Management: Theory and Practice*, by Catheryn Seckler-Hudson, Chairman of the Department of Government and Public Administration of The American University. Inevitably, it covers familiar, well-traveled ground, especially since it draws heavily on its predecessors for many of its ideas and even its language. But, clearly, it is not Professor Seckler-Hudson's objective to break new ground; rather, she seeks to synthesize much of the prevailing doctrine. "The primary purpose," she declares in the Foreword, "is to present a systematic and critical analysis of the principles and processes of organization as they are found in large establishments. A supplementary purpose is to propose extensive checklists and criteria concerning the principles and processes. These should provide useful guides and yardsticks for specialists, executives, and students of administration. . . ." This is not an easy task; unfortunately, the effort falls short of the mark.

The book is divided into three major sections. The first contains five "basic concepts" (specialization, coordination, the need for central policy, the development and utilization of appropriate methods and procedures to achieve policy, and the dynamic setting of administration), a review of the differences between private business administration and governmental administration, and a dozen "Principles or Guides" (namely, defining policy and imparting it to those responsible for its achievement; dividing, planning, and programming work; specific assignment of tasks and responsibilities; development and use of appropriate methods for policy achievement; equitable allocation of resources; delegation of authority as close as possible to the point at which op-

erations are performed; securing qualified leadership at every level of organization; maintaining unity of command and purpose; achieving effective coordination; and continuous reconsideration of "all matters pertaining to the organization"). This makes up the theoretical portion.

Part Two consists of the application of the theory and is by far the largest section. There is a chapter devoted to each of the major "processes of organization and management" (policy formation and re-formation; securing, locating, and using authority; planning; organizing; budgeting; staffing; operating; reporting; and leading, directing, and controlling). Every chapter consists of a series of questions and propositions, each of which is amplified by a paragraph or two, designed to direct attention to specific organizational problems. An additional chapter is made up entirely of the United States Bureau of the Budget's Outline of Survey Principles and Practices, a hitherto unpublished document which will interest every management analyst.

Finally, there is an extensive annotated bibliography, comprising more than five hundred items, which appears to be selected in large part from the very useful *Bibliography on Public Administration* previously edited through four editions by Professor Seckler-Hudson.

This volume, then, is a handbook, a manual. It is a prescription of how executives *ought* to behave, not a description of how people in large-scale organizations *actually do* behave. It is a code of proper conduct which has been intuitively distilled from "twenty-five years of research, practical experience, classroom instruction, and numerous lectures to executive training groups."

The basic defect of *Organization and Management*—as, indeed, of many of the "principles" books of this kind—is its ambiguity. The theoretical structure is obscure; the guideposts are sometimes so vague as to be virtual plays on words.

Thus, for example, the difference between a "basic concept," a "principle," and a "process" is never defined and never becomes clear to this reviewer from the context. Take the following items: "Coordination of specialized effort is imperative, if administration is to be effective." (p. 6) "Effective coordination of all individual and group efforts within the organization should be achieved." (p. 52) "Does the leader secure coordination of effort at levels below his own office?" (p. 244) "Does the leader coordinate both the outer and inner forces so

<sup>1</sup> A recent bibliography on management, for example, does not contain a single title published before 1910. See Harry Arthur Hopf, *Soundings in the Literature of Management* (Ossining: Hopf Institute of Management, 1945).

<sup>2</sup> Albert Lepawsky, *Administration* (New York: Knopf, 1949), Chapter IV.

that they move in harmony toward the ends sought?" (p. 245) The first is presented as a basic concept, the second as a principle, the last two as checklist items under the process "leading, directing, and controlling." Also compare the following: "Appropriate methods and procedures which will achieve the policy should be developed and utilized." (p. 9) "Appropriate methods and procedures should be developed and utilized by those responsible for policy achievement." (p. 47) "Are the operating policies of the organization consistent with the long-range goals . . . ?" (p. 183) Again, the first is a basic concept, the second a principle, the last a checklist item (under the process "operating"). If there is any standard, any criterion, by which these very similar questions and injunctions are sorted into three categories, it is carefully concealed from the reader. If there is no such criterion, then the whole organization of the volume is puzzling.

Moreover, the text abounds with queries and assertions (of all three kinds) that are so general as to constitute no more helpful a guide to action than an exhortation to do whatever the situation demands, or to do what is right and proper. These are truly noble sentiments, but they are scarcely operational yardsticks for the student or practitioner of administrative organization. Here is a random sample from the book:

Appropriate resources (men, money, material) in terms of availability and priority, should be equitably allocated. (p. 48)

Plan (s) should be both precise and flexible. (p. 114)

Are the opportunities for employment in the public service properly publicized? (p. 161)

Are adequate counseling facilities available to the employee? (p. 177)

There should be established more effective formal channels for interagency communication and reporting. (p. 233)

Is there sufficient delegation of the duties of the chief executive? (p. 97)

If these were merely odd sentences plucked from their contexts, to criticize them would be most unfair. But these are major headings; these are supposed to be the guides to good management, and the list is typical. Rarely does the reader find a description of the symptoms which presumably should accompany failure to observe the rules. And nowhere does he find a discussion that gives some specific content to the terms "appropriate," "equitable," "precise," "flexible," "proper," "adequate," "effective," "sufficient," and others like them. In the last analysis, the absence of methods

of measurement reduces the rules just cited to nothing more than reminders that there are such practices as allocating resources, planning, publicizing job opportunities, employee counseling, communicating, and delegating duties. To call attention to particular phases of administration in this fashion may perhaps be useful, but it is certainly disappointing to find that this is all the aid we can derive from an extended analysis.

Even when the text manages to avoid vagueness, it frequently falls victim to two other maladies. One is the tendency to labor the obvious. "Every executive should talk and listen. . . . Every executive should read and think. . . . Every executive should laugh and play. The executive who does not laugh or play is old at heart." (pp. 256-58)

The other is the failure to perceive, or at least to make explicit, the possible advantages of pursuing courses of action alternative—even antithetical—to those recommended. For example, Professor Seckler-Hudson inquires, clearly assuming that the responses to these questions will be emphatically affirmative in "good" organizations: "Has (sic) the policy and its sub-parts been carefully planned so that coordination will be almost automatic?" (p. 75) "Does the leader secure coordination of effort at levels below his own office?" (p. 244) Admittedly, it is not difficult to make a strong case for the positive reply. But it is equally true that a powerful argument can be advanced for the negative under some circumstances. Executives who encourage conflict settlement and the achievement of agreement on controversial matters in the lower levels of the bureaucracy (and this applies to private as well as governmental organizations) often surrender control of policy development to their subordinates. A bit of discord now and then brings differences of opinion and policy alternatives to the attention of organization leaders, and gives them the opportunity to make important policy decisions themselves.<sup>3</sup>

Or, to take another example, is there only one answer, as Professor Seckler-Hudson implies, to her query, "Does the leader mobilize and energize people to work toward ends rather than for him personally?" (p. 243) To be sure, dedication of employees to program goals protects the cohesion of an organization

<sup>3</sup> Cf. Herbert A. Simon, Donald W. Smithburg, and Victor A. Thompson, *Public Administration* (New York: Knopf, 1950), pp. 166-68. Note especially the conclusion on p. 168 that "the lack of clarity in the assignment of responsibilities during President Roosevelt's leadership of the Federal bureaucracy gave his own personality a greater impact on the development of administrative policy than would have been the case had the Federal bureaucracy been organized in accordance with the dreams of a typical artist of good organization charts."

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when particular individuals are replaced. But it also means that executives who try to introduce changes of policy, to alter some of the organization goals or even the emphasis on competing goals, may find himself facing the vigorous resistance, perhaps to the extent of mass resignation, of many of his staff. If the loyalties lie to the leaders as individuals rather than to abstractions, the flexibility of the leadership is vastly increased.

Still another example is the assertion: "If a new organization is created when an existing one would serve the purposes in mind, it is not only a waste of funds and effort, but extremely depressing to the morale in the existing agency." (p. 125) But the critical question is: *Which purposes in whose mind?* The Economic Cooperation Administration, for instance, administered a gigantic foreign aid program that *could* have been entrusted to the State Department. From Professor Seckler-Hudson's point of view, setting up two agencies was presumably poor administration. But Congress, which is ordinarily as alert to the need for economy in the executive branch as anybody in the country, was more concerned with who would do the job than with the cost of possible duplication of activities; Congress, for policy reasons, was determined to keep the new program out of the hands of the State Department.<sup>4</sup> (State Department morale, by the way, apparently did not by any means collapse as a consequence.) In other words, establishment of new organizations parallel to existing ones may be deplorable if the standard of judgment is the symmetry of the organization chart, but it may be the indicated course of action for leaders who would like to exert greater personal control over a program.

It would seem, therefore, that one may achieve great administrative successes not only by observing recommendations in this book, but by ignoring them or even by deliberately violating them. This may arouse some skepticism about the utility of the advice.

In many respects, the defects of this volume are the defects of the point of view it represents rather than the results of a personal failure on the part of the author. Even the best of the "principles" treatises often manifest precisely the same deficiencies.<sup>5</sup> The intuitive

<sup>4</sup> Robert K. Carr, Marver H. Bernstein, Donald H. Morrison, Richard C. Snyder, and Joseph E. McLean, *American Democracy in Theory and Practice* (New York: Rinehart, 1955), pp. 846-47; Kurt London, *How Foreign Policy Is Made* (New York: Van Nostrand, 1949), p. 100; William Adams Brown, Jr. and Redvers Opie, *American Foreign Assistance* (Washington: The Brookings Institution, 1953), p. 154.

<sup>5</sup> See, for example, Herbert A. Simon's argument that even relatively simple and clear-sounding epigrams widely accepted by students of administration are not only ambiguous

approach, even when it is based on extensive personal experience, observation and study, apparently can yield only the most meager fruits.

That is not to say the quest for such principles, even by intuitive methods, has not made any contribution at all to the study of organization behavior. Were it not for works of this nature, calling attention to the similarities in large-scale organizations of all kinds and trying to systematize the thinking about them, it is conceivable that much of the more recent research would not have taken place—or, at least, would have taken place much later. As a stage in the development of organization theory, the older types of study played an important and valuable role. But it is questionable whether there is anything to be gained by rehearsing them any longer.

Nor does this criticism mean that there are no regularities in organizational behavior, or that they cannot be discovered.<sup>6</sup> More correctly speaking, it implies that such generalizations must be clearly and unequivocally stated, that they must be supported by evidence presented along with them, and that prescriptions of administrative behavior must be explicitly rooted in descriptions of organizational variables and the relationships among those variables.

This, in fact, is the current trend. Modern approaches to the study of large-scale organization tend to be operational rather than purely intuitive, empirical rather than entirely deductive, experimental rather than merely speculative. This vast body of materials, most of which stress methodological rigor and are therefore quite modest in their claims, is almost completely neglected by Professor Seckler-Hudson. The text of her analysis contains virtually no reference even to the empirical studies in the field of public administration,<sup>7</sup> let alone to the Hawthorne experiments,<sup>8</sup> the

ous but often contradictory as well. *Administrative Behavior* (New York: Macmillan, 1947), Chapter II. For an extreme position, see Dwight Waldo, *The Administrative State* (New York: Ronald, 1948), Chapter 9.

<sup>6</sup> Waldo, *op. cit.*

<sup>7</sup> See, for example, Arthur W. Macmahon, John D. Millett, and Gladys Ogden, *The Administration of Federal Work Relief* (Chicago: Public Administration Service, 1941); John M. Gaus and Leon Wolcott, *Public Administration and the U.S. Department of Agriculture* (Chicago: Public Administration Service, 1940); see also the other studies and monographs in this series. The case studies in Harold Stein (ed.), *Public Administration and Policy Development* (New York: Harcourt, Brace, 1952), and of the Inter-University Case Program (available at The University of Alabama Press) are especially relevant, as are a host of recent studies of individual agencies or problems, such as Harvey C. Mansfield, et al., *A Short History of OPA* (Washington: U.S. Office of Temporary Controls, 1947); Victor A. Thompson, *The Regulatory Process in OPA Rationing* (New York: King's Crown Press, 1950); Arthur Maass, *Muddy Waters* (Cambridge: Harvard University Press, 1951); Edwin G. Nourse, *Economics in the Public Service* (New York: Harcourt, Brace, 1953), to name but a few. Moreover, there is a vast periodical literature as well. A synthesis of this material would be invaluable.

<sup>8</sup> T. North Whitehead, *The Industrial Worker* (Cambridge: Harvard University Press, 1938); F. J. Roethlis-

experiments in small-group behavior,<sup>9</sup> and other relevant work by sociologists, anthropologists, economists, and psychologists in the field of organization theory and behavior.<sup>10</sup>

The study of organization is moving in new directions.<sup>11</sup> It is safe to predict that students and practitioners of administration will face in those directions rather than toward the older traditions for guidance in the performance of their functions.—HERBERT KAUFMAN, Assistant Professor of Political Science, Yale University.

### Book Notes

**Police and Fire Integration in the Small City.** Charles S. James. Public Administration Service, 1313 East 60th Street, Chicago 37, Illinois, 1955. 63 pp. \$2.00.

This publication deals with two aspects of public safety—the progress small cities have made in providing police and fire services, and a forecast of the advantages which will flow from an integration of municipal public safety resources. It presents an application of the theory of administration more fully treated in a companion volume, *A Frontier of Municipal Safety*, also published by Public Administration Service.

Of particular interest to personnel officials is the section on "The Administrative Requirements of Public Safety." In Chapter 3, the author outlines the essentials of personnel management and discusses the effect integration would have. He points out that although integration is often advocated because it will be economical, the money savings are small and may even be nonexistent. "The real savings

berger and William J. Dickson, *Management and the Worker* (Cambridge: The Harvard University Press, 1939).

<sup>9</sup> See A. Paul Hare, Edgar F. Borgatta, and Robert F. Bales, *Small Groups* (New York: Knopf, 1955); Dorwin Cartwright and Alvin Zander, *Group Dynamics* (Evanston: Row, Peterson, 1953); George C. Homans, *The Human Group* (New York: Harcourt, Brace, 1950); and the entire issue of *The American Sociological Review*, Vol. XIX, No. 6 (December, 1954).

<sup>10</sup> See, for example, William F. Whyte, *Street Corner Society* (Chicago: The University of Chicago Press, 1943); Alexander M. Leighton, *The Governing of Men* (Princeton: Princeton University Press, 1946); W. Lloyd Warner and J. O. Low, *The Social System of the Modern Factory* (New Haven: Yale University Press, 1947); Philip Selznick, *TVA and the Grass Roots* (Berkeley: University of California Press, 1949); Samuel A. Stouffer, et al., *The American Soldier* (Princeton: Princeton University Press, 1949); Kenneth E. Boulding, *The Organizational Revolution* (New York: Harper, 1953). The publications of the Institute for Social Research of the University of Michigan are a rich source of data, and so is *Human Organization*, the journal of The Society for Applied Anthropology. For current research in the field of organization, see the *Human Organization Clearinghouse Bulletin*, a quarterly summary of research in progress published by The Society for Applied Anthropology. This cursory, random sampling of materials, offered to indicate the kinds of evidence required to sustain, refute, and clarify generalizations about administration, is merely suggestive of the data never specifically adduced by Professor Seckler-Hudson.

<sup>11</sup> Herbert A. Simon, "Recent Advances in Organization Theory," in Stephen K. Bailey, et al., *Research Frontiers in Politics and Government* (Washington: The Brookings Institution, 1955).

arise from two facts: (1) integration anticipates the inevitable future shortening of hours for public safety employees without a corresponding increase in personnel; and (2) integration can be expected to result in better service and hence less loss to the community from crimes, fires, accidents, and disturbances."

Mr. James also believes that accurate, well-kept records are important to good administration, and become increasingly so as governmental operations become more complex. Minimum requirements for record-keeping and how to systematize files are discussed and sample forms are included.

The line drawings which illustrate the text are particularly attractive and help make some of the author's major points.

**Techniques that Produce Teamwork.** Warren H. Schmidt and Paul C. Buchanan. Arthur C. Croft Publications, New London, Connecticut, 1954. 75 pp. \$2.50.

Many executives now agree with the social scientists who point out that full cooperation from every staff member produces the most effective organization, but their questions are: How do you do it? Where do you begin? This book gives some specific answers to these questions and suggests what supervisors all along the line can do to improve their own leadership and to build a "team spirit" within the group. The authors give practical "how to" suggestions on getting staff to take more responsibility, encouraging freedom of expression, and taking the "threat" out of evaluation.

**The Government and Administration of North Carolina.** Robert S. Rankin. American Commonwealth Series, W. Brooke Graves, Editor, Thomas Y. Crowell Company, New York, 1955. 412 pp. \$4.95.

Mr. Rankin, for many years professor of political science and now Chairman of the Department at Duke University, is a particularly well qualified author for this fifth volume in the government and administration of the states series. The constitution of "The Old North State," its various laws, programs, departments, and agencies are authoritatively described. The problems North Carolina faces in her relationships with neighboring states and with the federal government are also discussed and some recommendations for the future are suggested. (For reviews of the volumes on the government and administration of Wyoming, New York, Mississippi, and Florida, see *Public Personnel Review*, April, 1955, p. 116.)

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**Charter Provisions for Personnel Administration in Michigan Cities.** Henry Spiegelblatt. Papers in Public Administration No. 13, Bureau of Government, Institute of Public Administration, University of Michigan, Ann Arbor, 1955. 79 pp.

This is a survey of personnel systems in Michigan cities compiled by Mr. Spiegelblatt as fulfillment of his Master of Public Administration degree. It examines charter provisions concerning appropriations, certification of eligibles, classification and pay plans, lay-off and dismissal, probation, veterans' preference, and such other subjects. A separate chapter deals with the provisions for personnel boards and commissions in Michigan's city charters.

**Case Problems in Personnel Management.** Roger M. Bellows. Wm. C. Brown Company, Dubuque, Iowa. 87 pp. \$3.00.

The author describes this collection of 57 "word pictures" of actual personnel prob-

lems: "These are designed to enable the student to appreciate the uses and limitations of methods, as well as afford him practice in analyzing problems similar to those which he would encounter in day-to-day experience." Pertinent facts are given about each case and tear-out "analysis check list" sheets are provided in the back of the book. A sample problem is that of the Electronic Computer Corporation.

A primitive selection device for salesmen is in use which obviously would yield very low reliability and probably none at all. Erie Craig, a talented and well-trained personnel technician was confronted with the problem of improving the selection devices used in the company's branches to select new salesmen. How should he go about it?

The student is asked to check the items on the list which apply to the problem, and then to rank them according to their priority. The reverse side of the check list is for the student's brief statement of what he would do to solve or alleviate the problem presented.

## personnel literature

## abstracts of current articles

### 1956 CSA Abstracters

The following members of the Civil Service Assembly have accepted the editor's invitation to serve as abstracters of articles for the "Personnel Literature" section of *Public Personnel Review* during 1956.

Fred R. Alleman, New Jersey State Department of Civil Service, Trenton, New Jersey (Retired)

Harold N. Baxter, Personnel Technician, City Service Commission, Milwaukee, Wisconsin

Charles A. Brown, Administrative Assistant to the Director of Public Works, City of Berkeley, California

Miss Celia L. Carpenter, Regional Merit System Representative, U.S. Department of Health, Education, and Welfare, Boston, Massachusetts

Robert B. Code, Chief of Personnel, Department of Mines and Technical Surveys, Canada

Carl Gardecki, Personnel Technician I, Wayne County Civil Service Commission, Detroit, Michigan

David D. Greenhalgh, Personnel Technician, Civil Service Commission, Los Angeles, California

William Krieg, Personnel Examiner, Municipal Civil Service Board, Portland, Oregon

Gardiner B. Parker, Personnel Technician II, Personnel Department, State of Alabama, Montgomery, Alabama

Lawrence E. Rogers, Personnel Technician, Department of Personnel, St. Louis, Missouri

William G. Waggoner, Employee Relations Officer, U.S. Bureau of Reclamation, Region 2, Sacramento, California

Miss Janet L. Ward, Personnel Technician II, Seattle Office, Washington State Personnel Board

Mrs. Eve K. Williams, Payroll and Personnel, Miami, Florida, Department of Libraries

### Absenteeism

Canfield, Grant W., and Soash, David G., "Presenteeism—A Constructive View." *Personnel Journal*, July-August, 1955.—The Merchants and Manufacturers Association of Los Angeles undertook a survey to obtain absentee statistics, with the aim of helping companies work constructively towards presenteeism rather than away from absenteeism. The 219 firms participating represented a diversified cross section of industry in the area and ranged in size from 20 to over 30,000 employees. For purposes of this survey, absences included were those of over four hours in one day, but not those due to industrial accidents, authorized leaves of absence, or vacations. Absentee rates were based on man-days lost, divided by total potential man-days available. The over-all absentee rate for the month was 2.8 percent (3 percent when exempt salaried employees were excluded). Absentee rates for night shifts were generally higher than for day shifts, with the graveyard shift showing the poorest record. This pattern held true for both male and female employees, for hourly-paid and nonexempt salaried employees, but the difference between day and night shift absentee rates among female office employees was greater than among female hourly paid personnel. Absentee rates for office employees were lower than for hourly-paid personnel, and exempt salaried employees had the best record of the three groups; female employees had a higher rate than did males. The highest absence rate was on Monday; the lowest on Wednesday and Thursday. But for the practice of paying on that day, Friday would probably have resembled Monday. On Monday pay days the absentee rate was considerably lower

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than average. Absentee rates for days before and after holidays depended on company policy re eligibility for holiday pay. The rate for the day before a holiday was lower than the average for that day of the week, for the day after it was higher. Based on indicated absentee rate, the cost to Los Angeles manufacturing industry amounts to approximately \$125 per employee per year. The following effective means of controlling absences were observed: development of a company policy on the subject, an adequate record system, medical clearance for returning absents, investigation of unauthorized absences, clearer employee understanding of absence rules and procedures, and counselling of chronic absents. It was also observed that absence levels are influenced by ineffective selection and placement, excessive industrial fatigue, over-staffing and understaffing, irregular flow of production, and other morale factors such as poor supervision, inadequate training programs, ineffective grievance procedures, and unpleasant working conditions. There are external causes of absenteeism, including inadequate housing, shopping and transportation problems, health of self and family, house-hold duties, recreation, etc. "Presenteeism," generally the responsibility of personnel administration, is one more frontier where the personnel director may produce savings readily measured by management. (Article contains table showing analysis of percentage absent rates for survey month, according to type of industry, employee group, and shift.)—*Robert B. Code.*

**Hill, J. M. M., and Trist, E. L.**, "Changes in Accidents and Other Absences with Length of Service." *Human Relations*, a Quarterly Journal of the Social Studies, Vol. VIII, No. 2, 1955.—The period under study was four years; the industry was an English steel plant. In an earlier study a relation was established between the tendency of individuals entering employment in a steel works to have accidents and their tendency to go absent for other reasons. Accidents in part appear to be used, however unconsciously, as a means of withdrawal from the work situation. It is suggested that the "absence phenomena in general reflect the quality of the relationship between the person and the employing situation."

The absentee rate was especially high during the second and third half years of service. As leaving was abandoned as a withdrawal device, there were indications that the need for absences as a safety valve increased in the early years, then gradually tapered and leveled off.

The relationship which develops when a man is hired involves tensions sometimes broken by leaving, often endured, and sometimes made tolerable by absences. As the employee becomes more familiar with accepted patterns, unsanctioned absences decreased, and other absences, including various types of illness absences, increased. The change in kind of absence appears to reflect that hostility toward the company as a cause of absence has diminished. The attitude of the company in tolerating increased absences during the settling-in period helps to improve company-employee relationships.

Accidents during the four-year period showed a high positive correlation between "no reason" absences, and a high negative correlation with "uncertified sickness," indicating that poor relationships with the employing authority are connected with accidents. The accident-free control group showed significantly lower "no-reason" absences when compared with the accident-sustaining groups. Accidents occurred less frequently in the night shift, leading to the theory that with fewer employees on duty, and a lower level of supervisory authority, the "atmosphere" was more tolerable.

"Clinical evidence may be taken to have established that the relations which a man makes with his fellows reflect unconsciously the relations subsisting within his own personality."—*Fred R. Alleman.*

## Communication

**Wolff, Tom**, "Are You Getting Across to Your Workers?" *Personnel*, September, 1955.—Conscious, meaningful, purposeful communication is indispensable for management leadership at every level. By the orders you give and the questions you answer you communicate information and ideas; by what you say and do—and *don't* say and do—you communicate impressions and attitudes. Communication is a human process involving at least two people, with different personalities, backgrounds, and motives. Communication in management means "bridging the gap" between your interests and those of your workers and establishing a common ground for sharing facts, ideas, and attitudes. Every company applies this "bridging the gap" approach to selling its products. Why is it forgotten in communications *within* a company? Industry spends billions on various benefit programs, but without down-to-earth communications it gets little credit. In order to use communications effectively, plan how to bridge the gap. (1) Know what you're shooting for. What do

you want for yourself? What do you want for your company? What do you want for your subordinates? Try answering these questions honestly and practically to determine your own personal goals and how they tie in with the goals of your superiors and subordinates. (2) Know your company. You have to live with the programs of your company and interpret them to your subordinates. Re-read them from time to time, analyze them, and discuss them with others. (3) Know your people. The best way to know what's on your workers' minds is to listen to them, with sympathy and understanding. That's when real communication occurs. (4) Build the right atmosphere. Be sure your motives are understood and be willing to give credit when it is due. (5) Talk to the guy. Tell your workers the reason why—for an action, policy, or change. And talk to them about themselves—how they rate, how they can improve, where they go from here. Your workers want strong, clear, consistent leadership. Are you getting across to them?—Gardiner B. Parker.

### Government Prestige

Hattery, Lowell H., "The Prestige of Federal Employment." *Public Administration Review*, Summer, 1955.—The prestige of federal administrative and professional personnel is on the decline. The decline poses serious problems for the government since low prestige affects the quality of federal administration. Research data is available on which to base short- and long-range programs to improve the federal employment position. The primary value of prestige is that it influences capable people to seek a permanent connection in government circles. It also reduces turnover among the best qualified and stimulates better performance. Attitudes were solicited and analyzed to provide information personnel officers could use to influence students to accept positions in the federal service. Ten distinct factors were evaluated in terms of preference for private industry, and the same number were evaluated for federal employment. The two most important factors which influence a job decision are the desire for better pay and the location of work. The government is also handicapped because of poor public relations and the fact that many students believe the federal government is less efficient than industry. To get its fair share of top notch employees the federal government must plan and execute a long-range program that will give a true perspective of federal employment opportunities. The prestige of federal employment deserves our best thinking and efforts.—Carl Gardecki.

### Motivation

Pease, Hugh M., "Improving Employee Motivation." *Personnel Administration*, May, 1955.—How the staff man can best help the line supervisor improve the motivation of employees is the subject of this article. The line man has to live with the problem of motivation and his success or failure in dealing with it is often a make-or-break item in his total success. The staff man can make a contribution based on observance of the success or failure of different supervisory techniques. Line level personnel management has much room for improvement and much to learn, but the staff man should not pose as an expert passing on jewels of wisdom to the line novice. Some staff advice to line supervisors is in the form of "gimmicks." One of these is incentive systems, which are artificially introduced motivation but which can be valuable under some circumstances. Another is efficiency or performance ratings which are supposed to improve employee performance and relationships between supervisor and employee. How true this is may be questioned since these ratings may result in appeals and grievances. The "gimmicks" seem to miss or bypass the real needs of the supervisor who is the man in the middle. A third method of staff assistance in motivation is in training supervisors in human relations. Although training could be more effective, it is right in principle in that it aims to give the line man the insights and best experience distilled from studies of supervisory practices and attitudes. A fourth method is that of staff assistance. The staff man contacts supervisors frequently to discuss motivation problems and explores them with the line man to see if answers can be found. This method has the advantage of permitting the staff man to work with the line man as a fellow investigator rather than an outside expert. An example of line initiated motivation is given in the use of an employee committee at an ordnance depot which raised production rates and morale and drastically lowered unit costs. In summary, the staff man has something to offer the line in motivation but he may be overselling the use of tangible systems and overlooking the aid he can give in insights and understanding.—Janet L. Ward.

### Personnel Administration

Saltonstall, Robert, "Who's Who in Personnel Administration." *Harvard Business Review*, July-August, 1955.—There is doubt and confusion at the top management level, at lower levels of line management, and even

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among personnel people themselves as to what line and what staff responsibility is involved in carrying out the day-to-day personnel job. Personnel administration is not something that is grafted onto an organization as a separate branch of the management function. The direct handling of people is, and always has been, an integral part of every line manager's responsibility. Line managers, especially as companies grow in size, need assistance, specialized knowledge, and advice of the personnel staff. Thus, it is up to top management to see that line supervisors fulfill their personnel responsibilities without shifting the burden onto the personnel department. Personnel specialists can get worthwhile results through the line organization only when all levels of line management accept their full personnel responsibilities and utilize properly the specialized staff services available to them. Since distinctions can, and do, exist between line and staff responsibilities in the major functional areas of personnel administration, more attention should be given to clarifying specifically just what these different responsibilities are, or should be, in each special situation. I suggest that in actual practice a joint committee representing top management, the personnel department, and line supervisors could make a major contribution by clarifying the issues involved and setting a pattern for future staff-line relationships. Top management, in its desire to make full use of the human resources of the company, could do well to explore the gains derived from a carefully thought-out, specially tailored division of responsibilities. Such a division would enable line and staff people to know not only who's who in personnel administration but also who does what.

Article contains exhibits showing an approach to specific distinctions between the staff functions of assistance and advice and the line operating and leadership functions in the areas of employment, safety, training and labor relations.—William E. Krieg.

### Recruitment

Page, Seymour, "Be Your Own Talent Scout." *The Office*, September, 1955.—Frequently the man you are looking for is already working for you. For instance, your bright young shipping clerk may have been studying accounting. Instead of going outside for an employee that knows nothing of your Company, promote this young fellow to the junior accountant vacancy and you have convinced all

employees that the promotional opportunities in your Company are real. Identifying the various skills of your employees, other than those pertinent to their current jobs, can be done by setting up an Employee Skills File. A skills survey questionnaire is used to establish the file. Once established for current employees, another questionnaire is completed as new skills are acquired. New employees entering on duty complete a questionnaire as a part of the sign-up procedure. Record keeping of your Employees' Skills File can be tailored to fit your equipment and your needs. If your organization has a machine accounting office the skills may be coded and key punched. Smaller organizations may desire to code the skills data manually on needle sorted cards and maintain the file by manual preparation of skill cards. Once in operation your Employee Skills File becomes a basic supplement to your promotion policy. Being your own talent scout instead of depending on help wanted ads and other outside recruiting media pays off. You will eliminate, in the main, the need for advertising for those hard-to-fill jobs and benefit, too, by increased employee morale as your personnel realize that self-development does not go unrecognized nor unrewarded.—William G. Waggoner.

Kennan, George F., "The Future of Our Professional Diplomacy." *Foreign Affairs*, July, 1955.—Early in 1954 the Secretary of State appointed a committee headed by Dr. Henry Wriston to advise him on what should be done about the Foreign Service. The recommendations of this committee constitute an attempt to create a new Foreign Service. The first feature of the recommendations of the committee would bring about an administrative entity of about 4000 officers. Many older officers would prefer a small, high quality organization to the huge organization that apparently will be created. One impression derived from the committee's program is that emphasis is going to be placed on specialists as opposed to generalists. For any given task we need so-and-so many of this skill and so-and-so many of that skill and we will have a suitable organization. This is opposed to the view of older officers who feel that what is important in ninety-nine out of a hundred cases is the totality of the man himself: his character, his judgment, his insight, his knowledge of the world, his adaptability, his capacity for human understanding. The Wriston committee proposed a new method of recruitment to be known as the Foreign Service Scholarship

**Training Program.** Under this scheme some 750 young people who had finished their sophomore year in college would be selected as candidates for the Foreign Service and would receive a federal grant of \$900 for each of their last two years. There is room for doubt whether an American undergraduate education, even at its best, is now sufficient preparation for entry into the Foreign Service. The present generation seems to embrace the theory that we should be represented by our average rather than by our best. The older Foreign Service officers would have unhesitatingly favored a Foreign Service that was elite in character and intellect and education to a Foreign Service that was as close as possible to the average of other Americans.—*Lawrence E. Rogers.*

### Reorganization

**Goode, Cecil E.**, "Reorganization and People." *Personnel Administration*, May, 1955.—Organization involves principally the relationships of people; plans cannot be set up as one would machinery. The phases of organization spell out what people will do and how they will work together so the total job will be done on time and with each part in its proper place. Although too many people have thought that a reorganization study would solve all problems, the following are good reasons for reorganizing: (1) To fit in new functions or missions. (2) To eliminate functions which are no longer necessary. (3) To eliminate duplication or overlapping of functions and operations. (4) To provide a more efficient arrangement of functions and operations. (5) To make better use of executive talent. (6) To use new and more efficient processes and methods. (7) To change the working relationship of units and officials. But there are some tribulations of reorganization, too: The unscrupulous and unduly ambitious may move in and take over. Reorganizations have a tendency to keep everyone upset for a long period of time. There is a tendency for officials to postpone actions which would normally be made. Making an organization study in closely guarded secrecy has a detrimental effect upon its acceptance. Finally, it takes much longer to realize the benefits of reorganization than is usually expected. There are several steps which can be taken to realize better human relations while a reorganization study is in progress: (1) Everyone in the organization should be told why the reorganization is being made and should be asked for his recommendations. (2) The organization study should be

completed as soon as possible with minimum interference with normal operations. (3) Those in control should keep an eye on the opportunists. (4) It should be kept in mind that any reorganization plan will have to be bent to fit the people available. (5) It should be realized that organization will not solve every problem. (6) The personnel staff should be included on the organization study team because it is the job of the personnel staff to know and to give due regard to the human beings in the organization.—*David D. Greenhalgh.*

### Supervision

**Jones, Donald C.**, "Self-Evaluation for Middle Management," *Office Executive*, June, 1955.—Chiefly a description of a three-part self-administering test on (1) modern management practice (with relation to top management); (2) are you employee centered? (position of supervisor with regard to work of his department); and, (3) scientific problem solving (as related to techniques for supervisor's own solution). Test items are designed to help middle management supervisors judge the quality of their work. They take into consideration the supervisors' different experiences, opportunities; the influence of attitudes and policies of superiors; varied levels of management between supervisor and executive officer; study for solution of supervisors' daily problems, plus the supervisors' need to know how to think.—*Eve K. Williams.*

"Do We Need Better Bosses?" *Management Methods*, September 1955.—Because much research on human behavior is being done independently and some is unpublished the editor asked Dr. Donald A. Laird, an industrial psychologist, to collect and author a series of Human Research Studies; this is one of the series. Workers have definite expectations in a boss; in general, production and morale depend on how nearly these are met. Management's expectations do not jibe fully with workers'. When good leadership is spotty it is probably not built on operationally tested methods. Dislike of bosses may reflect monotony of tasks or high job expectations. When a whole gang dislikes a boss, a "natural" leader may emerge; some firms try to prevent this by creating leader teams, a task master and a diplomat. In one factory, workers consistently identified good bosses by such traits as: is approachable, handles complaints promptly, keeps workers informed; departments having the "poorest" bosses produced significantly less. Agreement among workers as to what

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they expect gives management help in planning leadership training. When foremen of telephone installation crews were shifted one crew accustomed to a good boss rebelled. Bosses are often a hidden strike motive; the workers feel it hopeless to demand better bosses; hence their gripes spill over into related things. When office workers in simplified jobs indicated dislike of their bosses a company expanded some jobs and increased output resulted. Different leadership characteristics are needed in different work situations and in different size groups. For example, large groups tend to tolerate restrictive methods which irritate small groups. Financial profit may not indicate a successful boss—his methods may jeopardize future profits. (Article contains bar charts, figure drawings, lists of boss characteristics, and a bibliography of 18 studies and books.)—Celia L. Carpenter.

**Allen, Louis A.**, "The Art of Delegation." *Personnel Journal*, July-Aug., 1955.—Delegation is one of the most important and difficult of skills that a manager needs to acquire. Delegation is important because, once a man's job grows beyond his personal capacity, the success of what he does is measured largely in terms of work performed for him by other people. The critical point in the career of many an executive is reached at a stage when he must either learn to delegate or cease to grow in scope and capacity. But delegation is difficult for many people. Subordinates must be trained to work on their own; the Director must learn to allow the subordinates to work out their own problems; and most important he must know what is meant by delegation. Delegation involves responsibility, authority to carry out responsibilities, and accountability—the obligation to carry out responsibility. This is the basis for the scalar form of modern industrial organization. The process is a three dimension relationship: the manager, the worker, and the assistance of others who make up a team. Delegation may even include interpretation of policy as the top man in each unit is, in the final analysis, held accountable for compliance with policy. However, responsibility for coordination cannot be delegated. Only the top man is in a position to know, assess, and reconcile all the interests involved. Delegation should be to the lowest levels at which all facts necessary for decisions are available. Several guides have been developed for learning delegation: (1) The responsibility and authority to be delegated should be clearly defined, preferably in writing. (2) Authority should be delegated commensurate with the

responsibility to be discharged. (3) A person should be accountable only to the person who delegates authority and responsibility to him. (4) The degree of delegation should be proportional to the availability of effective controls. The responsibility of the subordinate lies in keeping the boss informed, and anticipating needs and so informing his boss. The boss must know the employees' capacities and motivate them to achieve top performance.—Charles A. Brown.

## Training

**Chope, Robert C.**, "Training Skill—Management's Tool." *Office Executive*, June, 1955.—As a national average, 25 percent of the total number of man hours is spent on paperwork. Half a million people supervise this work; yet we have training programs in only 20 percent of our offices. Trained people can make the difference between business success or failure. We must train our supervisors to train the individual. Training can lower costs, improve work quality, build morale, improve communications. The program must be built on actual rather than assumed training needs. Analysis of turnover, supervisors' age and experience, and technical knowledge tests will point out areas for training. The difference between a supervisor's job description and objectively measured performance on the job point out further areas. Employee opinion surveys stress a need for supervisory training in leadership skills. Give supervisors subjects as (1) employee relationships, (2) company policy, (3) work simplification, (4) democratic leadership, (5) how to develop desirable attitudes in employees, (6) the supervisor's belonging to management. Personal skills to develop include ability to read, write and speak. Other skills that warrant development are (1) on-the-job methods to train employees, (2) organizing and planning work, (3) applying company policy. The conference method develops democratic leaders who bring out the best ideas of a group and reach a conclusion agreeable to most. It proved valuable in solving problems of work quality and cost reduction. The demonstration method was used to motivate the supervisor in completing the self-development interview with the employee. With a written pattern for the interview and wire recorder playbacks of role-playing, the supervisors actually sought further practise and development. Using *How Supervise* form A and later B, a 14 percent improvement in supervisory attitude was noted as a result of training.—Harold N. Baxter.

## CSA Pays Tribute

(Continued from page 2)

Policy for Federal Personnel, and the report on Labor Relations of Government Employees for the Labor Law Section of the American Bar Association, are further landmarks in your constructive career of public service.

You have made a twofold contribution to the development of the Civil Service Assembly from a small body of earnest practitioners in public personnel administration to its present level of great importance in the field. In the first place as an expert in both public administration and civil service law, you have aided the development of the professional standing of the organization. You have worked on many of the Assembly's Committees and enlivened meetings with your penetrating observations and your broad, objective view of the civil service scene. For nine years you contributed the Legal Notes section of the Public Personnel Review. Secondly, in the broad public scene you have aided the Assembly by helping establish public understanding of civil service problems and the importance of the professionalization which the Assembly represents.

For the devotion, inspiration, guidance and accomplishment which marks your almost lifelong labors for better civil service, H. Eliot Kaplan, you are eminently deserving of life membership in the Civil Service Assembly of the U.S. and Canada.

### In Memoriam: Dr. Samuel C. May

By LOUIS J. KROEGER

At the Western Regional Conference, where we honored Sam May this Spring, I chose to speak of his retirement from University life as a commencement rather than as a conclusion of a career. True to that theme, he was on his way to a new assignment in Italy when he died.

I was to have read a citation for honorary lifetime membership in this Assembly for Sam at this meeting. Although we cannot now present that life membership as we planned, I propose that on this occasion we should not remember Sam by mourning his passing, but by dwelling on the reasons why we were fortunate to have him with us.

Samuel C. May was one of the pioneers in practical public administration. He taught it in the University and preached it in public places when others were still dubious about its place in the university curriculum and antagonistic to trained administrators in public service.

Those of us who were persuaded to public service by Sam, and who were associated with him in the many practical applications he himself made of the principles of public administration, benefited by the fact that he sustained us in high ideals, and, by his own example, never let us grow cynical nor lose the zest for service.

I recall in my own case how I was poised on the brink of a career in law when I first came under the influence of this man's stimulating personality.

I cannot say that he ever talked me out of going to law school. He simply overwhelmed me with a greater urge to follow the path of public service. It has occasionally been a rough path; but I have never regretted taking it.

Sam May combined scholarship and a practical public life in an ideal balance. He was known in international public administration circles as Director of the Bureau of Public Administration at the University of California; as Professor of Political Science; and as participant in many international conferences on public administration. He was perhaps better known in his own community as a city councilman; a personnel board member; as chairman of a state planning commission; and above all, as advocate of bold projects in the public interest.

Apart from his professional achievements, Sam was the kind of man it was good to know. To know him at all was to have a friend and advisor. When we sought his advice we never failed to get it; and we were usually persuaded by its wisdom. In his many activities Sam sometimes had opponents; but I never knew him to have an enemy. You could disagree with him; but you couldn't dislike him.

At numerous national and regional meetings of this organization, Sam May gave generously of his time and talents. Sometimes when assigned to address us on some aspect of our own work he might, on his own volition, speak about stacking the Supreme Court, the case for socialized medicine, the application of automation to social science research or any other of his always lively current interests.

In doing so he never failed to disappoint us, but rather showed us yet another facet of his remarkable talents and of his spirited personality.

Sam did not leave behind a shelf of books of his writing. His words are scattered instead through countless reports and proposals which occupy the desks and have guided the actions of administrators and legislators.

Far more impressive than any written words is the number and character of those whom Sam recruited and prepared for public service. Through them, and through others they in turn will train to the same high standards, the public service will long continue to benefit because Sam May was so wholeheartedly a part of it.

Mr. Chairman, in place of the citation for honorary life membership I was to have read today, I propose the following resolution, prepared by the Resolutions Committee, for adoption by this Assembly:

### RESOLUTION I

Adopted at the 1955 Annual Business Meeting of the Civil Service Assembly at the Netherland Plaza Hotel, Cincinnati, Ohio, October 26, 1955.

WHEREAS, the Executive Council of the Civil Service Assembly at its meeting on February 5, 1955, unanimously voted to nominate Dr. Samuel

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*C. May as an honorary member of the Civil Service Assembly of the United States and Canada; and*

*WHEREAS, his nomination was in recognition of his outstanding achievements and leadership as an educator, as a civic leader, as a long-time civil service commissioner, and as a frequent and stimulating participant in the meetings and deliberations of the Civil Service Assembly; and*

*WHEREAS, the sudden and untimely death of Dr. May on September 30 has prevented the Civil Service Assembly from bestowing this honor on a well-beloved colleague in life; now therefore,*

*BE IT RESOLVED, that the Civil Service Assembly, at its annual business meeting this twenty-sixth day of October, 1955, does hereby vote to bestow honorary membership on Dr. Samuel C. May, posthumously; and*

*BE IT FURTHER RESOLVED, that the scroll prepared for presentation to Dr. May be conveyed to Mrs. May, together with a sincere expression of sympathy from the members of the Civil Service Assembly, in the hope that the scroll will be to her an enduring memento bearing testimony to the esteem and affection in which we, his colleagues, have held him.*

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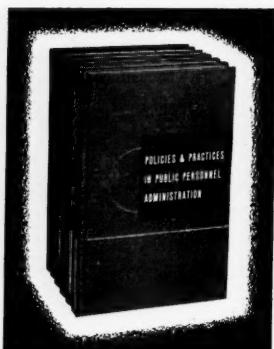
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